

## Application

|   |  |
|---|--|
| <b>Federal Award Identification Number (FAIN)</b> | AZ-2023-022-00   |
| <b>Temporary Application Number</b>               | 6720-2022-3  |
| <b>Award Name</b>                                 | Navajo Nation FFY21 5311 Tribal Transit Formula, ARP Act, Operating Assistance |
| <b>Application Status</b>                         | Final Concurrence / Reservation  |
| <b>Application Budget Number</b>                  | 0  |

|  |                     |
|--|---------------------|
| <b>Period of Performance Start Date</b>        | N/A                 |
| <b>Original Period of Performance End Date</b> | 9/30/2025           |
| <b>Current Period of Performance End Date</b>  | N/A Revision #: N/A |

### Part 1: Recipient Information

**Name: NAVAJO NATION TRIBAL GOVERNMENT, THE**

| Recipient ID | Recipient OST Type | Recipient Alias | UEI          | DUNS      |
|--------------|--------------------|-----------------|--------------|-----------|
| 6720         | Indian Tribe       | Navajo Nation   | KEBVZNK93W87 | 009001702 |

| Location Type    | Address              | City        | State | Zip   |
|------------------|----------------------|-------------|-------|-------|
| Headquarters     | 2 MILES N OF HWY 264 | WINDOW ROCK | AZ    | 86515 |
| Physical Address | 2 MILES N OF HWY 264 | WINDOW ROCK | AZ    | 86515 |
| Mailing Address  | BOX 646              | WINDOW ROCK | AZ    | 86515 |

### Union Information

There are no union contacts for this application

### Part 2: Application Information

**Title: Navajo Nation FFY21 5311 Tribal Transit Formula, ARP Act, Operating Assistance**

| <b>FAIN</b>    | <b>Application Status</b>       | <b>Award Type</b> | <b>Application Cost Center</b> | <b>Date Created</b> | <b>Last Updated Date</b> | <b>From TEAM?</b> |
|----------------|---------------------------------|-------------------|--------------------------------|---------------------|--------------------------|-------------------|
| AZ-2023-022-00 | Final Concurrence / Reservation | Grant             | Region 9                       | 6/17/2022           | 6/17/2022                | No                |

**Application Executive Summary**

This application is to request FY 2021 Tribal Formula, ARP Act apportioned to The Navajo Nation, Arizona, New Mexico, Utah, in the amount of \$929,651.

This application utilizes ARP Act funding to prevent, prepare for, and respond to coronavirus and its effect on the Navajo Nation.

Navajo Nation recipient agrees that if it receives Federal funding from the Federal Emergency Management Agency (FEMA) or through a pass-through entity through the Robert T. Stafford Disaster Relief and Emergency Assistance Act, a different Federal agency, or insurance proceeds for any portion of a project activity approved for FTA funding under this Grant Agreement, it will provide written notification to FTA, and reimburse FTA for any Federal share that duplicates funding provided by FEMA, another Federal agency, or an insurance company.

Period of Performance: January 1, 2022 to September 30, 2025.

The following is a breakdown of costs that will be used with this award: Salary & Fringe benefits for drivers, dispatcher, shop staff/mechanics, office/administrative staff, and supervisors positions \$632,144; supplies \$240,961; Marketing & Advertising \$34,900; Staff development \$11,250; Indirect Costs \$10,396

Federal Funds: Operating Assistance, FY2021 5311c Tribal Transit Formula ARPA apportioned to Navajo Nation, Arizona, New Mexico, Utah in the amount of \$929,651.

Local Match: \$0

Total Project Cost: \$929,651

**Frequency of Milestone Progress Reports (MPR)**

Annual

**Frequency of Federal Financial Reports (FFR)**

Annual

**Does this application include funds for research and/or development activities?**

This award does not include research and development activities.

**Pre-Award Authority**

This award is using Pre-Award Authority.

**Does this application include suballocation funds?**

Recipient organization is directly allocated these funds and is eligible to apply for and receive these funds directly.

**Will this Grant be using Lapsing Funds?**

No, this Grant does not use Lapsing Funds.

**Will indirect costs be applied to this application?**

This award is applying an approved Indirect cost rate(s).

*Indirect Rate Details:* The FY2023 indirect cost (IDC) rate is 12.59%. For this application, the grant amount is \$929,651, base is \$805,171. IDC to be charged is \$825,696 federal award amount x 12.59% IDC rate = \$103,955 x 10% FTA 5311 Tribal IDC cap = \$10,396 total eligible IDC. The rate is based on Indirect Cost Agreement issued by the Department of Interior. It covers the period from Oct 1, 2022 to Sep 30, 2023, data will update on annual FFR.

**Requires E.O. 12372 Review**

No, this application does not require E.O. 12372 Review.

**Delinquent Federal Debt**

No, my organization does not have delinquent federal debt.

## Award Description

**Purpose**

The purpose of this award is to provide operating assistance for the period of January 1, 2022 to September 30, 2025.

**Activities to be performed:**

The funds will be used for operating assistance such as personnel salaries, supplies, staff development, fuel, uniforms, utility costs, travel expenses, phones, indirect cost expense and other expenses relating to the operation of the Transit Department during the Covid-19 Pandemic.

**Expected outcomes:**

Funding will allow the continued operation of transit services and provide much needed services to the population of our service area

**Intended beneficiaries:**

The intended beneficiaries of our transit services are the population of Navajo Transit System service area which consist of the Navajo Indian Reservation and surrounding communities.

**Subrecipient Activities:**

None

## Application Point of Contact Information

| First Name | Last Name | Title                         | E-mail Address         | Phone          |
|------------|-----------|-------------------------------|------------------------|----------------|
| Phil       | Yue       | Program Management Specialist | Phil.Yue@dot.gov       | (415) 734-9476 |
| Florinda   | Lynch     | Senior Accountant             | fglynch@navajo-nsn.gov | 928-729-4108   |

## Application Budget Control Totals

| Funding Source                              | Section of Statute | CFDA Number | Amount    |
|---|--------------------|-------------|-----------|
| 5311 -Tribal Transit Program Formula (ARPA) | 5311-10C           | 20509       | \$929,651 |
| Local                                       |                    |             | \$0       |

|                                   |  |  |                  |
|-----------------------------------|--|--|------------------|
| Local/In-Kind                     |  |  | \$0              |
| State                             |  |  | \$0              |
| State/In-Kind                     |  |  | \$0              |
| Other Federal                     |  |  | \$0              |
| Transportation Development Credit |  |  | \$0              |
| Adjustment                        |  |  | \$0              |
| <b>Total Eligible Cost</b>        |  |  | <b>\$929,651</b> |

## Application Budget

| Project Number    | Budget Item  | FTA Amount   | Non-FTA Amount | Total Eligible Amount | Quantity |
|-------------------|--|--------------|----------------|-----------------------|----------|
| AZ-2023-022-01-00 | 600-00 (600-A1) OTHER PROGRAM COSTS                      | \$929,651.00 | \$0.00         | \$929,651.00          | 1        |
| AZ-2023-022-01-00 | 30.09.08 EMER RELIEF - OPERATING ASSIST - 100% Fed Share | \$929,651.00 | \$0.00         | \$929,651.00          | 1        |

## Discretionary Allocations

This application does not contain discretionary allocations.

## Part 3: Project Information

### Project Title: Transit Operating Assistance

| Project Number    | Temporary Project Number | Date Created | Start Date | End Date  |
|-------------------|--------------------------|--------------|------------|-----------|
| AZ-2023-022-01-00 | 6720-2022-3-P1           | 6/24/2022    | 1/1/2022   | 9/30/2025 |

#### Project Description

This FY 2021 5311(c) ARPA funds Operating Assistance grant will provide funding for Navajo Nation transit services. The funds will be used for personnel salaries and benefits, supplies, Marketing & Advertising, staff development and indirect costs.

#### Project Benefits

The Tribal Transit Program grant funds for operating assistance will be used for normal transit service program costs. The transit services are provided for the Navajo Nation with transport within The Navajo Nation. Services are fixed route services and mainly include transport for employment and education.

#### Additional Information

This project is expected to result in safe and reliable transportation for Native American Indians to deliver vital health services and access to life sustaining resources during the coronavirus pandemic.

#### Location Description

Navajo Transit System administrative/maintenance facility is located in Fort Defiance AZ. Our public transportation bus routes operate on the Navajo Indian reservation located in Arizona, New Mexico and Utah.

### Project Location (Urbanized Areas)

| UZA Code | Area Name  |
|----------|------------|
| 040000   | Arizona    |
| 350000   | New Mexico |
| 490000   | Utah       |

### Congressional District Information

| State      | District | Representative |
|------------|----------|----------------|
| New Mexico | 3        | Ben R Lujan    |
| Arizona    | 1        | Tom O'Halleran |
| Utah       | 3        | John Curtis    |

### Program Plan Information

**STIP/TIP**

Date: N/A

Description: N/A

**UPWP**

Date: N/A

Description: N/A

**Long Range Plan**

Date: N/A

Description: N/A

### Project Control Totals

| Funding Source                              | Section of Statute | CFDA Number | Amount           |
|---|--------------------|-------------|------------------|
| 5311 -Tribal Transit Program Formula (ARPA) | 5311-10C           | 20509       | \$929,651        |
| Local                                       |                    |             | \$0              |
| Local/In-Kind                               |                    |             | \$0              |
| State                                       |                    |             | \$0              |
| State/In-Kind                               |                    |             | \$0              |
| Other Federal                               |                    |             | \$0              |
| Transportation Development Credit           |                    |             | \$0              |
| Adjustment                                  |                    |             | \$0              |
| <b>Total Eligible Cost</b>                  |                    |             | <b>\$929,651</b> |

## Project Budget

| Project Number    | Budget Item  | FTA Amount   | Non-FTA Amount | Total Eligible Amount | Quantity |
|-------------------|--|--------------|----------------|-----------------------|----------|
| AZ-2023-022-01-00 | 600-00 (600-A1) OTHER PROGRAM COSTS                      | \$929,651.00 | \$0.00         | \$929,651.00          | 1        |
| AZ-2023-022-01-00 | 30.09.08 EMER RELIEF - OPERATING ASSIST - 100% Fed Share | \$929,651.00 | \$0.00         | \$929,651.00          | 1        |

## Project Budget Activity Line Items

### Budget Activity Line Item: 30.09.08 - EMER RELIEF - OPERATING ASSIST - 100% Fed Share

| Scope Name / Code            | Line Item # | Line Item Name                                  | Activity             | Quantity |
|------------------------------|-------------|---|----------------------|----------|
| OTHER PROGRAM COSTS (600-00) | 30.09.08    | EMER RELIEF - OPERATING ASSIST - 100% Fed Share | OPERATING ASSISTANCE | 1        |

### Extended Budget Description

The following is a breakdown of costs that will be used with this award: Salary & Fringe benefits for drivers, dispatcher, shop staff/mechanics, office/administrative staff, and supervisors positions \$632,144; supplies \$240,961; Marketing & Advertising \$34,900; Staff development \$11,250; Indirect Costs \$10,396 Federal Funds: FY2021 5311c TTP ARPA funds from the Navajo Nation, Arizona, New Mexico, Utah in the amount of \$929,651

Local Match: \$0

Total Project Cost: \$929,651

### Will 3rd Party contractors be used to fulfill this activity line item?

Yes, 3rd Party Contractors will be used for this line item.

| Funding Source                              | Section of Statute | CFDA Number | Amount    |
|---|--------------------|-------------|-----------|
| 5311 -Tribal Transit Program Formula (ARPA) | 5311-10C           | 20509       | \$929,651 |
| Local                                       |                    |             | \$0       |
| Local/In-Kind                               |                    |             | \$0       |
| State                                       |                    |             | \$0       |
| State/In-Kind                               |                    |             | \$0       |
| Other Federal                               |                    |             | \$0       |
| Transportation Development Credit           |                    |             | \$0       |
| Adjustment                                  |                    |             | \$0       |

|                            |                  |
|----------------------------|------------------|
| <b>Total Eligible Cost</b> | <b>\$929,651</b> |
|----------------------------|------------------|

| <b>Milestone Name</b> | <b>Est. Completion Date</b> | <b>Description</b>  |
|-----------------------|-----------------------------|---|
| Start Date            | 1/1/2022                    | Start date of project 01/01/2022 or date of award execution |
| Project End Date      | 9/30/2025                   | Project end date  |

## Project Environmental Findings

### Finding: Class II(c) - Categorical Exclusions (C-List)

#### Class Level Description

Class II(c) consists of projects that do not have a significant environmental impact on the human or natural environment and are therefore categorically excluded from the requirement to prepare an environmental assessment or an environmental impact statement. FTA requires a sufficient project description to support a CE determination. The project may require additional documentation to comply with other environmental laws.

#### Categorical Exclusion Description

Type 04: Planning and administrative activities which do not involve or lead directly to construction, such as: training, technical assistance and research; promulgation of rules, regulations, directives, or program guidance; approval of project concepts; engineering; and operating assistance to transit authorities to continue existing service or increase service to meet routine demand.

| <b>Date Description</b> | <b>Date</b> |
|-------------------------|-------------|
| Class IIc CE Approved   | 6/24/2022   |

| <b>Scope Name / Code</b>     | <b>Line Item Number</b> | <b>Line Item Name</b>                           | <b>Quantity</b> | <b>FTA Amount</b> | <b>Total Eligible Cost</b> |
|------------------------------|-------------------------|---|-----------------|-------------------|----------------------------|
| OTHER PROGRAM COSTS (600-00) | 30.09.08                | EMER RELIEF - OPERATING ASSIST - 100% Fed Share | 1               | \$929,651.00      | \$929,651.00               |

## Part 4: Fleet Details

No fleet data exists for this application.

## Part 5: FTA Review Comments

### FTA Comments for DOL

**Comment By** Phil Yue

**Comment Type** DOL Review for Information

**Date** 6/28/2023

Comment Department of Labor (DOL) certification is not required. It is for informational purposes— as with regular Section 5311 Program applications.

## Application Review Comments

**Comment By Phil Yue**

---

Comment Type Pre-Award Manager Returns Application

Date 9/7/2022

Comment

- 1) The funding source is incorrect, it should be 5311 Tribal Formula (ARPA), please adjust
- 2) On executive summary, the 5 required elements are lack of information, please provide more details and must related to the COVID-19.
- 3) On executive summary, Please remove the indirect cost information
- 4) On executive summary, please enter the funding/scope/activity information
- 5) On executive summary, please enter this statement, Navajo Nation Recipient agrees that if it receives Federal funding from the Federal Emergency Management Agency (FEMA) or through a pass-through entity through the Robert T. Stafford Disaster Relief and Emergency Assistance Act, a different Federal agency, or insurance proceeds for any portion of a project activity approved for FTA funding under this Grant Agreement, it will provide written notification to FTA, and reimburse FTA for any Federal share that duplicates funding provided by FEMA, another Federal agency, or an insurance company.
- 6) On both executive summary and extended budget description, please provide the breakdown cost for the operating expense.
- 7) On executive summary, provide the performance start and end date.
- 8) On indirect cost detail, please use the exact statement and calculation from the sample. (Please remember, from your FY2022 Indirect Cost agreement, you end date for this rate is 9/30/2022, will the tribe expect to echo w/d this rate by 9/30/2022? You cannot claim the rate (echo w/d) if the date already passed)
- 9) Your performance end date, 9/30/2025 does not match the last milestone completion date, 3/31/2026, please adjust.

**Comment By Phil Yue**

---

Comment Type Pre-Award Manager Returns Application

Date 9/7/2022

Comment

- 1) On both executive summary and extended budget description, breakdown cost section, your indirect cost is \$124,480 does not match the indirect cost detail, \$12,448, please adjust
- 2) on indirect cost detail, the indirect cost covers 1/1/2022 9/30/2025 and the FY2022 Indirect cost agreement only covers from 10/1/2021 to 9/30/2022. The information does not match. Please adjust.
- 3) Please check yes 3rd party contractor

**Comment By Phil Yue**

---

Comment Type Pre-Award Manager Returns Application



|         |   |
|---------|---|
| Date    | 1/25/2023   |
| Comment | Grantee reported she needs to make the change, return for correction. |

**Comment By Phil Yue**

---

|              |   |
|--------------|---|
| Comment Type | Pre-Award Manager Returns Application   |
| Date         | 1/25/2023   |
| Comment      | Please upload the FY2023 Indirect Cost agreement on recipient document, cannot process until the FY2023 Indirect Cost rate and cover period got verified. |

**Comment By Phil Yue**

---

|              |                                       |
|--------------|---------------------------------------|
| Comment Type | Pre-Award Manager Returns Application |
| Date         | 6/8/2023                              |
| Comment      |                                       |