

Application

Federal Award Identification Number (FAIN)	AZ-2023-042-00
Temporary Application Number	6720-2023-1
Award Name	Navajo Nation, FY2021 5311 Rural Area Formula AZDOT allocated fund, Operating Assistance, Preventative Maintenance & Project Administration
Application Status	Final Concurrence / Reservation
Application Budget Number	0

Period of Performance Start Date	N/A
Original Period of Performance End Date	9/30/2025
Current Period of Performance End Date	N/A Revision #: N/A

Budget Period Start Date	N/A
Budget Period End Date	9/30/2025

Part 1: Recipient Information

Name: NAVAJO NATION TRIBAL GOVERNMENT

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	100 PARKWAY	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, FY2021 5311 Rural Area Formula AZDOT allocated fund, Operating Assistance, Preventative Maintenance & Project Administration

FAIN	Application Status	Award Type	Application Cost Center	Date Created	Last Updated Date	From TEAM?
AZ-2023-042-00	Final Concurrence / Reservation	Grant	Region 9	8/21/2023	8/21/2023	No

Application Executive Summary

This application is to request FY2021 5311 Rural Area Formula AZDOT allocated funds to the Navajo Nation, Arizona, in the amount of \$121,200.

The funds will be used for project administration, operating assistance, personnel salaries, vehicle operations & maintenance costs, supplies, fuel, insurance and preventative maintenance expense.

Period of Performance: August 29, 2023 to September 30, 2025

AZDOT Approval letter included Planning/Route Assessment funds for \$50,000 (Fed \$40,000 & Local \$10,000) but those funds remained with ADOT and were not transferred to FTA.

The breakdown of operating assistance that will be utilized with this award: Personnel costs \$131,512, Supplies (operating supplies, parts, fuel) \$13,596, indirect cost \$10,064

The breakdown of Project Admin that will be utilized with this award: Personnel costs \$20,489, Supplies (operating/Office supplies) \$2,274, indirect cost \$2,237

The breakdown of Capital PM that will be utilized with this award: Supplies (operating supplies/Parts) \$12,748, indirect cost \$1,252

Federal Funds, Operating Assistance FY2021 Rural Area Formula AZDOT allocated funds to the Navajo Nation, Arizona, in the amount of \$90,000

Local Match: \$65,172

Total Project Cost: \$155,172

Federal Funds, Project Admin FY2021 Rural Area Formula AZDOT allocated funds to the Navajo Nation, Arizona, in the amount of \$20,000

Local Match: \$5,000

Total Project Cost: \$25,000

Federal Funds, Capital PM FY2021 Rural Area Formula AZDOT allocated funds to the Navajo Nation, Arizona, in the amount of \$11,200

Local Match: \$2,800

Total Project Cost: \$14,000

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 not using Pre-Award Authority.

Does this application include suballocation funds?

Recipient organization is suballocated these apportioned funds and can 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 federal amount is \$121,200. So IDC base is \$107,647.22 x 12.59% IDC rate = \$13,553 allowable 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 funds for the period of August 29, 2023 to September 30, 2025 to continue to provide public transportation services in our service areas.

Activities to be performed:

The funds will be used for project administration, operating assistance, personnel salaries, vehicle operations & maintenance costs, supplies, fuel, insurance and preventative maintenance expense.

Expected outcomes:

Funding will allow the continued operation of transit services and expansion of some service areas and/or times.

Intended beneficiaries:

The intended beneficiaries of our transit services are the population of Navajo Transit System service area and area transit riders.

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 - Rural Area Formula	5311-1A	20509	\$121,200
Local			\$72,972
Local/In-Kind			\$0
State			\$0
State/In-Kind			\$0
Other Federal			\$0
Transportation Development Credit			\$0
Adjustment			\$0
Total Eligible Cost			\$194,172

Application Budget

Project Number	Budget Item	FTA Amount	Non-FTA Amount	Total Eligible Amount	Quantity
AZ-2023-042-01-00	600-00 (600-A2) OTHER PROGRAM COSTS	\$101,200.00	\$67,972.00	\$169,172.00	2
AZ-2023-042-01-00	11.7A.00 PREVENTIVE MAINTENANCE	\$11,200.00	\$2,800.00	\$14,000.00	1
AZ-2023-042-01-00	30.09.02 SLIDING SCALE (5311 OR 5310 PILOT ONLY)	\$90,000.00	\$65,172.00	\$155,172.00	1
AZ-2023-042-01-00	620-00 (620-A1) PROJECT ADMINISTRATION	\$20,000.00	\$5,000.00	\$25,000.00	1
AZ-2023-042-01-00	11.79.00 PROJECT ADMINISTRATION	\$20,000.00	\$5,000.00	\$25,000.00	1

Discretionary Allocations

This application does not contain discretionary allocations.

Part 3: Project Information

Project Title: FY21 Rural Area Formula ADOT allocated fund, Project Admin, Operating and PM
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Project Number	Temporary Project Number	Date Created	Start Date	End Date
AZ-2023-042-01-00	6720-2023-1-P1	8/21/2023	8/29/2023	9/30/2025

Project Description

This application includes a project for transit administration, operations and capitalized preventive maintenance. NTS administrative section shall continue to manage day-to-day administrative matters including overseeing administrative matters, policy changes, ticketing procedures, training, marketing, insurance needs and public education. Operations shall continue to oversee and manage bus route service. Capitalized Preventive Maintenance is also a part of this application.

Project Benefits

Continue to provide a much needed service to residents and the general public of our service area

Additional Information

None provided.

Location Description

This ADOT FFY21 grant is for route service within the Arizona portion of the Navajo Reservation

Project Location (Urbanized Areas)

UZA Code	Area Name
040000	Arizona

Congressional District Information

State	District	Representative
Arizona	1	Tom O'Halleran

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 - Rural Area Formula	5311-1A	20509	\$121,200
Local			\$72,972
Local/In-Kind			\$0
State			\$0
State/In-Kind			\$0
Other Federal			\$0
Transportation Development Credit			\$0
Adjustment			\$0
Total Eligible Cost			\$194,172

Project Budget

Project Number	Budget Item	FTA Amount	Non-FTA Amount	Total Eligible Amount	Quantity
AZ-2023-042-01-00	600-00 (600-A2) OTHER PROGRAM COSTS	\$101,200.00	\$67,972.00	\$169,172.00	2
AZ-2023-042-01-00	11.7A.00 PREVENTIVE MAINTENANCE	\$11,200.00	\$2,800.00	\$14,000.00	1
AZ-2023-042-01-00	30.09.02 SLIDING SCALE (5311 OR 5310 PILOT ONLY)	\$90,000.00	\$65,172.00	\$155,172.00	1
AZ-2023-042-01-00	620-00 (620-A1) PROJECT ADMINISTRATION	\$20,000.00	\$5,000.00	\$25,000.00	1
AZ-2023-042-01-00	11.79.00 PROJECT ADMINISTRATION	\$20,000.00	\$5,000.00	\$25,000.00	1

Project Budget Activity Line Items

Budget Activity Line Item: 11.7A.00 - PREVENTIVE MAINTENANCE

Scope Name / Code	Line Item #	Line Item Name	Activity	Quantity
OTHER PROGRAM COSTS (600-00)	11.7A.00	PREVENTIVE MAINTENANCE	OTHER CAPITAL ITEMS (BUS)	1

Extended Budget Description

Capitalized preventive maintenance for AZDOT allocated funds - Rural Area Formula. Federal amount \$ 11,200 (80% federal share) and Local amount \$2,800 (20% local share) for a total of \$14,000.

The breakdown of Capital PM that will be utilized with this award: Supplies (operating supplies/Parts) \$12,748, indirect cost \$1,252

Federal Funds, Capital PM FY2021 Rural Area Formula AZDOT allocated funds to the Navajo Nation, Arizona, in the amount of \$11,200.

Local Match: \$2,800

Total Project Cost: \$14,000

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 - Rural Area Formula	5311-1A	20509	\$11,200
Local			\$2,800
Local/In-Kind			\$0
State			\$0
State/In-Kind			\$0
Other Federal			\$0
Transportation Development Credit			\$0
Adjustment			\$0
Total Eligible Cost			\$14,000

Milestone Name	Est. Completion Date	Description
Start Date	8/29/2023	Project start date
End Date	9/30/2025	Project end date

Budget Activity Line Item: 30.09.02 - SLIDING SCALE (5311 OR 5310 PILOT ONLY)

Scope Name / Code	Line Item #	Line Item Name	Activity	Quantity
OTHER PROGRAM COSTS (600-00)	30.09.02	SLIDING SCALE (5311 OR 5310 PILOT ONLY)	OPERATING ASSISTANCE	1

Extended Budget Description

Operating Assistance for AZDOT allocated funds - Rural Area Formula. Federal amount \$90,000 (58% federal share) and Local amount \$65,172 (42% local share) for a total award of \$155,172.

The breakdown of operating assistance that will be utilized with this award: Personnel costs \$131,512, Supplies (operating supplies, parts, fuel) \$13,596, indirect cost \$10,064

Federal Funds, Operating Assistance FY2021 Rural Area Formula AZDOT allocated funds to the Navajo Nation, Arizona, in the amount of \$90,000

Local Match: \$65,172

Total Project Cost: \$155,172

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 - Rural Area Formula	5311-1A	20509	\$90,000
Local			\$65,172
Local/In-Kind			\$0
State			\$0
State/In-Kind			\$0
Other Federal			\$0
Transportation Development Credit			\$0
Adjustment			\$0
Total Eligible Cost			\$155,172

Milestone Name	Est. Completion Date	Description
Start Date	8/29/2023	Project start date
End Date	9/30/2025	Project end date

Budget Activity Line Item: 11.79.00 - PROJECT ADMINISTRATION

Scope Name / Code	Line Item #	Line Item Name	Activity	Quantity
PROJECT ADMINISTRATION (620-00)	11.79.00	PROJECT ADMINISTRATION	PROJECT ADMINISTRATION	1

Extended Budget Description

Project Administration for AZDOT allocated funds - Rural Area Formula. Federal share \$20,000 (80% share) and Local share \$5,000 (20%) for total award of \$25,000

The breakdown of Project Admin that will be utilized with this award: Personnel costs \$20,489, Supplies (operating/Office supplies) \$2,274, indirect cost \$2,237

Federal Funds, Project Admin FY2021 Rural Area Formula AZDOT allocated funds to the Navajo Nation, Arizona, in the amount of \$20,000

Local Match: \$5,000

Total Project Cost: \$25,000

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 - Rural Area Formula	5311-1A	20509	\$20,000
Local			\$5,000
Local/In-Kind			\$0
State			\$0
State/In-Kind			\$0
Other Federal			\$0

Transportation Development Credit	\$0
Adjustment	\$0
Total Eligible Cost	\$25,000

Milestone Name	Est. Completion Date	Description
Start Date	8/29/2023	Project start date
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.

Date Description	Date
Class IIc CE Approved	9/5/2023

Scope Name / Code	Line Item Number	Line Item Name	Quantity	FTA Amount	Total Eligible Cost
PROJECT ADMINISTRATION (620-00)	11.79.00	PROJECT ADMINISTRATION	1	\$20,000.00	\$25,000.00

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.

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Date Description	Date
Class IIc CE Approved	9/5/2023

Scope Name / Code	Line Item Number	Line Item Name	Quantity	FTA Amount	Total Eligible Cost
OTHER PROGRAM COSTS (600-00)	30.09.02	SLIDING SCALE (5311 OR 5310 PILOT ONLY)	1	\$90,000.00	\$155,172.00

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 07: Acquisition, installation, rehabilitation, replacement, and maintenance of vehicles or equipment, within or accommodated by existing facilities, that does not result in a change in functional use of the facilities, such as: equipment to be located within existing facilities and with no substantial off-site impacts; and vehicles, including buses, rail cars, trolley cars, ferry boats and people movers that can be accommodated by existing facilities or by new facilities that qualify for a categorical exclusion.

Date Description	Date
Class IIc CE Approved	9/5/2023

Scope Name / Code	Line Item Number	Line Item Name	Quantity	FTA Amount	Total Eligible Cost
OTHER PROGRAM COSTS (600-00)	11.7A.00	PREVENTIVE MAINTENANCE	1	\$11,200.00	\$14,000.00

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 9/19/2023

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

