



DR. BUU NYGREN *PRESIDENT*
RICHELLE MONTOYA *VICE PRESIDENT*

The Navajo Nation | Yideeskáądi Nitsáhákees

December 5, 2023

Chinle Chapter Government
PO Box 1809
Chinle, AZ 86503

ATTENTION: Rosanna Jumbo-Fitch, Chapter President

REFERENCE: 164 Review 020741 / Contract

Dear Rosanna:

Attached please find your copy of the approved Contract (CO16257) with the Navajo Nation Office of the President and Vice President. The Contract has been awarded in the amount of \$4,540,00.00. The term of the contract will commence on March 03, 2021, and expires September 30, 2024.

Reference above contract number on all invoices, documents, and correspondence as it relates to this contract.

Should you have any questions, please contact Arnold Jake at 928-309-5534.

Sincerely,

A handwritten signature in blue ink that reads "Darlene Begay".

Darlene Begay, Senior Accountant
OOC – Contract Administration

xc: ~~Arnold Jake, Navajo Nation OP/VP~~
Joseph Kaulaity, CA / Navajo Nation OOC
Contract Folder: CO16257

**SUBRECIPIENT AGREEMENT
BETWEEN
THE NAVAJO NATION AND CHINLE CHAPTER
FOR**

**SUBAWARD OF AMERICAN RESCUE PLAN ACT FISCAL RECOVERY FUNDS
FOR PURPOSES OF Bathroom Additions (1.14), Chapter House Renovation (2.22), South
Manuelito Well Traffic Study (2.22), Office of Dine Youth (2.14), Chapter Warehouse (6.1), &
Wellness Center (2.22)**

Name of Subrecipient Chinle Chapter		Phone Number (928) 674-2052	
Name and Title of Person Authorized to accept funding for the Subrecipient ("Designated Official") Rosanna Jumbo-Fitch, Chapter President		Designated Official's Email Address Rosanna.jumbo@naataanii.org	
Subrecipient's Mailing Address PO Box 1809 Chinle, AZ 86503			
Subrecipient's Employer Identification Number 86-0717453			
Subrecipient's DUNS Number & Unique Entity Identifier ("UEI") Number 079738893			
Federal Awarding Agency; Assistance Listing Number & Title; Federal Award Date U.S. Department of Treasury; 21.027; May 27, 2021			
Expenditure Plan Title: Bathroom Additions; Chapter House Renovation; South Manuelito Well Traffic Study; Office of Dine Youth; Warehouse; Wellness Center			
Period of Performance See paragraph 5(b)		Amount of Subaward and Business Units	
		\$4,540,000.00	
		K211580.8785	\$ 750,000.00
		K211583.8785	\$1,725,000.00
		K211585.8785	\$ 800,000.00
		K211586.8785	\$ 15,000.00
		K211588.8785	\$ 50,000.00
		K211591.8785	\$1,200,000.00

This Subrecipient Agreement includes and incorporates:

1. Terms and Conditions;
2. Appendix A – Scope of Work
3. Appendix B – Budget
4. Appendix C – Disbursement Schedule
5. Appendix D – Expenditure Plan
6. Appendix E – Council Resolution Approving Expenditure Plan
7. Appendix F – Financial Assistance Agreement between Department of Treasury and The Navajo Nation
8. Appendix G - U.S. Department of Treasury Compliance and Reporting Guidance for SLFRF

A complete Subrecipient Agreement, including all Appendices, must be submitted prior to disbursement of the awarded Navajo Nation Fiscal Recovery Funds ("Subaward Funds").

TERMS AND CONDITIONS

This Subrecipient Agreement (“Agreement”) is made and entered into by and between the Navajo Nation, hereinafter called the “NATION” and the “Name Chapter” hereinafter called the “SUBRECIPIENT.” Collectively, the NATION and the SUBRECIPIENT are the “PARTIES.”

WHEREAS, the U.S. Department of the Treasury (“Treasury”) has allocated to the NATION funding from the Coronavirus State and Local Fiscal Recovery Fund under Section 603(b) of the Social Security Act, as amended by Section 9901 of the American Rescue Plan Act (“ARPA”), for the limited purposes identified in the Interagency Agreement between Treasury and the NATION, identified as Appendix F, the Coronavirus State and Local Fiscal Recovery Funds Final Rule (“Final Rule”) and other Treasury guidance in the form of Frequently Asked Questions, and the Compliance and Reporting Guidance for SLFRF (“Compliance and Reporting Guidance”), identified as Appendix G, all of which are incorporated herein by this reference.

WHEREAS, the ARPA authorizes the NATION to expend the Fiscal Recovery Funds (“FRF”) awarded to the NATION for the following eligible purposes as outlined in the Final Rule as follows:

- (1) To respond to the COVID-19 public health emergency or its negative economic impacts, including assistance to households, small businesses, and nonprofits, or aid to impacted industries such as tourism, travel, and hospitality;
- (2) To respond to workers performing essential work during the COVID-19 public health emergency by providing premium pay to eligible workers;
- (3) For the provision of government services to the extent of the reduction in revenue due to the COVID-19 public health emergency relative to revenues collected in the most recent full fiscal year prior to the emergency; and
- (4) To make necessary investments in water, sewer, or broadband infrastructure.

WHEREAS, the PARTIES desire to enter into this Agreement so that the NATION may provide a subaward of FRF for appropriate and qualifying expenditures of FRF to execute projects or programs outlined in the Expenditure Plan approved by the NATION through Council Resolution CD-70-22 as specified in **Appendix D**.

NOW, THEREFORE, in consideration of the foregoing recitals which are incorporated herein by reference, and the terms and conditions set forth below, the PARTIES agree as follows:

1. Definitions.

- a. “Disburse / Disbursement” is defined as when the Office of the Controller (“OOC”) issues a check or initiates the transfer of Funds into the SUBRECIPIENT’S account.
- b. “Expenditure Plan” is the SUBRECIPIENT’S Fiscal Recovery Funds Request Form and Expenditure Plan, with budget, and supporting documents, attached as **Appendix D**.
- c. To “Incur” costs means that the SUBRECIPIENT has obligated the Subaward Funds. FRF may be used only to cover costs incurred during the period beginning on March 3, 2021 and ending September 30, 2024.

d. To “Obligate” funds means orders placed for property and services, contracts and subawards made, and similar transactions during a given period that require payment by the **SUBRECIPIENT** during the same or a future period.

e. “Expend” is defined as when an expense is actually paid by the **SUBRECIPIENT**.

2. **Applicability of Subrecipient Agreement and Provisions.**

This Agreement, including all its Appendices, is intended to be the full and complete expression of, and shall constitute the entire agreement between the Parties. All prior and contemporaneous understandings, agreements, promises, representations, terms and conditions, whether oral or written, are superseded and replaced by this Agreement.

3. **Authorized Representative and Administrative Oversight.**

a. The **SUBRECIPIENT** shall work with the Division of Community Development (“Administrative Oversight”), and its Authorized Representative with respect to this Agreement.

b. Each Party shall appoint an Authorized Representative who has the authority and requisite experience to manage all Agreement related matters. Notice of the appointed Authorized Representative shall be provided to each Party within five (5) calendar days of the execution of this Agreement. If either party changes its Authorized Representative or their scope of authority, they shall immediately notify the other Party pursuant to Article 12.

c. The Administrative Oversight shall serve as the administrative oversight of this Agreement including the **SUBRECIPIENT**’s compliance with applicable federal and Navajo Nation laws, regulations, and policies; and financial reporting.

4. **Agreement Number.**

Contract number C-_____, as assigned by the Office of the Controller, shall cover this Agreement. Reference to this number shall be made on request for release of Subaward Funds submitted by the **SUBRECIPIENT** to the **NATION** for payment.

5. **Effective Date and Period of Performance.**

a. This Agreement is effective upon execution by all the **PARTIES**.

b. The period of performance shall begin on the Effective Date of this Agreement. The **SUBRECIPIENT** shall be required to incur costs, meaning to obligate funds by September 30, 2024, and expend funds by September 30, 2026 unless an earlier or later date is determined by the **NATION** through a resolution of the Navajo Nation Council or a Standing Committee of Council, and with written notice provided to the **SUBRECIPIENT**. The period of performance shall end upon the acceptance and approval by the Authorized Representative, the FRF Office, OMB, and OOC of the **SUBRECIPIENT**’s final financial close out report and performance report.

6. **Amount and Payment of Subaward.**

a. The **NATION** agrees to allocate and disburse the Subaward Funds to the **SUBRECIPIENT** for purposes specified in the Appendix A— Scope of Work by paying a sum not to exceed \$4,540,000 (“Subaward Funds”), per Appendix B – Budget.

- b. Payments of the Subaward Funds shall be made in installments according to the Disbursement Schedule in **Appendix C** to this Agreement, which shall be subject to approval by the FRF Office in consultation with OOC and the Administrative Oversight. The **NATION** may withhold or delay disbursements if the **NATION** determines that the **SUBRECIPIENT** has failed to comply with its obligations under this Agreement. This determination shall be made by the FRF Office in consultation with OOC and the Administrative Oversight. The **SUBRECIPIENT** must provide documentation that it has obligated or expended 75% of its prior disbursement installment before OOC will release the next disbursement installment. If the **SUBRECIPIENT** expends 75% of its disbursement installment prior to the end of a twelve-month period, the **SUBRECIPIENT** may request to the FRF Office, the Administrative Oversight, and OOC that OOC release the next disbursement installment prior to the end of that twelve-month period.
- c. No payment of Subaward Funds shall be made unless and until approved by the FRF Office, the Administrative Oversight, and OOC. The **NATION's** approval of payments of Subaward Funds shall be based on the **SUBRECIPIENT's** actual costs and achievement of project milestones in accordance with the Disbursement Schedule. The **NATION** may request that the **SUBRECIPIENT** provide supporting documentation of actual costs, including but not limited to work orders, contracts, purchase orders, invoices, and receiving records.
- d. The **SUBRECIPIENT** shall work with the Accounts Payable Section of OOC to set up ACH (Automated Clearing House) electronic fund transfers, and shall provide OOC with an updated W-9 form on an annual basis.

7. **Use and Return of Funds.**

- a. FRF comprising the Subaward Funds, may only be used pursuant to Section 9901 of the ARPA and all the rules, regulations, and guidance implementing Section 9901 of the ARPA that are applicable to Tribal governments and their subrecipients. The use of FRF must also comply with all applicable Navajo Nation laws.
- b. The **SUBRECIPIENT** affirms and agrees that it shall only incur costs under the Subaward and expend Subaward Funds for the purposes outlined in **Appendix A – Scope of Work**.
- c. If any portion of Subaward Funds remain unexpended on September 30, 2026, unless an earlier or later date is determined by the **NATION** through a resolution of the Navajo Nation Council or a Standing Committee of Council, **SUBRECIPIENT** shall immediately return such portion of the Subaward Funds to the **NATION**. Upon the termination of this Agreement, the **SUBRECIPIENT** may be required to immediately return the unexpended portion of the Subaward Funds to the **NATION**.
- d. Where the **NATION** determines the **SUBRECIPIENT** expended Subaward Funds in violation of this Agreement or any applicable laws and regulations, the **SUBRECIPIENT** shall immediately return such portion of the Subaward Funds the **NATION** determined were improperly expended.
- e. If the **SUBRECIPIENT** fails to return such Subaward Funds to the **NATION** when due, the

SUBRECIPIENT will incur a delinquent accounts receivable debt, due and owing to the **NATION**. Further, the **NATION** may offset any future payments due to the **SUBRECIPIENT** by the amount owed, and may pursue all other available legal action against the **SUBRECIPIENT**.

8. Pre-Agreement Costs.

Costs incurred before the finalization of this Agreement that are within the scope of work of the Agreement and that the **NATION** deems reasonable, allowable, and allocable to performance of the Agreement may be paid under this Agreement. This determination shall be made by the FRF Office in consultation with the Administrative Oversight and OOC. All pre-Agreement costs shall be subject to the terms of this Agreement as if such Agreement were in effect when the costs were incurred.

9. Contingency Reserve.

If the scope of work of this Agreement involves construction, the **SUBRECIPIENT** may, but shall not be required to, include a portion of the Subaward as a contingency reserve to cover cost overruns due to the inflationary costs of building materials and labor or other construction contingencies. In the event of a cost overrun due to construction contingencies, the **SUBRECIPIENT** shall first exhaust its own internal funding sources, and then may notify the Authorized Representative and Administrative Oversight of its need to access funds from the Navajo Nation Construction Contingencies Expenditure Plan approved in section 13 of Council Resolution CJN-29-22 which are subject to an administrative approval process. If the contingency cannot be funded through the Construction Contingencies Expenditure Plan, the Administrative Oversight may choose to seek approval of a supplemental appropriation of funds through a resolution approved by the Navajo Nation Council.

10. Administrative Costs.

The **NATION** shall allow the **SUBRECIPIENT** to budget and expend two percent (2%) of the total Subaward for administrative costs. The **SUBRECIPIENT** may use funds for administering the **SUBRECIPIENT**'s FRF projects and programs under the approved Expenditure Plan, including costs of consultants to support effective management and oversight, including consultation for ensuring compliance with legal, regulatory, and other requirements. Further, costs must be reasonable and allocable as outlined in 2 CFR 200.404 and 2 CFR 200.405. The **SUBRECIPIENT** is permitted to charge both direct and indirect costs as administrative costs. If the total Subaward is not fully expended within the terms of the Agreement, the **SUBRECIPIENT** shall be required to immediately return to the **NATION** the remaining balance of the Subaward Funds, and an additional amount to include the 2% for administrative costs of the balance of the Subaward Funds, even if the **SUBRECIPIENT** fully expended the administration funds.

11. Availability of Funds.

The liability of the **NATION** under this Agreement is contingent upon the availability of funds pursuant to 2 N.N.C. §§ 223(A) and (B).

12. Contact Information; Notice.

Copies of all correspondence, reports, and notices under this Agreement shall be furnished to the Authorized Representative, with a copy to the FRF Office, OOC and Office of Management and Budget ("OMB") Contracts and Grants Section.

13. Reporting Requirements.

- a. **The SUBRECIPIENT shall adhere to the following reporting requirements and provide the documentation requested on a monthly basis, unless specified otherwise, to the Administrative Oversight, with a copy to the FRF Office, OOC, and OMB, within ten (10) calendar days following the end of the month.**
- b. **The NATION requires the monthly reporting requirements listed below from the SUBRECIPIENT:**
 - i. **A detailed report that compares budgeted expenditures to actual expenditures for costs incurred;**
 - ii. **Completion of the OMB Program Performance Criteria Form;**
 - iii. **A narrative report providing monthly project assessment, including a summary of project activities, accomplishments with dates, impediments encountered, and impediments forecasted with planned responses;**
 - iv. **A listing of all property purchased with the Subaward Funds costing \$5,000 or more with an expected useful life of more than one year, such as buildings, vehicles, machinery, and equipment; and**
 - v. **Other data, records, information, and maps related to the progress of the project, that document changes made to the project since the previous monthly report.**
- c. **The FRF Office, in consultation with OOC and the Administrative Oversight performed a risk assessment on the SUBRECIPIENT. The SUBRECIPIENT was determined to be low risk. The risk assessment included consideration of such factors as: the NATION's evaluation of the SUPRECIPIENT's past performance in the context of other subawards, grants, contracts, or other transactions and business opportunities; the SUBRECIPIENT's prior experience with similar subawards; the results of previous audits and whether the SUBRECIPIENT receives a Single Audit; whether the SUBRECIPIENT has new personnel or new or substantially changed systems; and the extent and results of federal funding agency monitoring. The NATION may repeat its risk assessment evaluation of the SUBRECIPIENT at any time during the term of this Agreement. Additional considerations may include the SUBRECIPIENT's compliance or noncompliance with reporting requirements and other terms and conditions of this Agreement.**
- d. **Depending on the NATION's assessment of risk posed by the SUBRECIPIENT, the NATION may impose additional monitoring tools to ensure the SUBRECIPIENT's accountability and compliance with Subaward requirements and achievement of performance goals. This could include the NATION: providing the SUBRECIPIENT with training and technical assistance on program-related matters; performing on-site reviews of the SUBRECIPIENT's program operations; and imposing additional reporting requirements and other compliance monitoring procedures.**
- e. **If the FRF Office, in consultation with OOC and the Administrative Oversight, determines that the SUBRECIPIENT poses a moderate or high risk for noncompliance with federal laws, regulations, and the terms and conditions of this Agreement the NATION may require the following additional reporting:**
 - i. **a detailed line-item expenditure report, with General Ledger detail, for the month**

- reported;
- ii. supporting documentation for any individual expenditure greater than twenty-five thousand dollars (\$25,000) incurred during the month reported; and
 - iii. a reconciliation of the Subaward Funds, starting with the beginning balance, cash received, disbursements to date, program income (if applicable), and ending balance.
- f. The **SUBRECIPIENT** may be required to attend a training on the eligible uses of the Subaward Funds based on past experience with managing federal awards programs or on the **NATION'S** risk assessment of the **SUBRECIPIENT**.
- g. If the **SUBRECIPIENT** fails to timely submit such required reports or if the **SUBRECIPIENT's** reports show lack of progress and/or low expenditure, it shall be in default under this Agreement. The **NATION** shall not disburse any Subaward Funds until the required reports are submitted.
- h. The **SUBRECIPIENT** shall submit a final financial closeout report providing a final accounting of the uses of the Subaward Funds, which should be supported by documentation, including but not limited to receipts, invoices, contracts, listing of all property purchased with the Subaward Funds costing \$5,000 or more with an expected useful life of more than one year, and payroll records. This final report must be submitted the earlier of forty-five (45) days after September 30, 2026 unless an earlier or later date is determined by the **NATION** through a resolution of the Navajo Nation Council or a Standing Committee of Council or thirty (30) days after the completion of all projects within the scope of work of this Agreement. If, however, this Agreement is terminated, the final financial closeout report is due thirty (30) days after termination of the Agreement. If the Subaward Funds are being disbursed on a reimbursement basis according to the disbursement schedule attached as Appendix C, the **NATION** shall not release the final disbursement of Subaward Funds until the final financial closeout report is submitted to Administrative Oversight, the FRF Office, OOC, and OMB, and is reviewed and approved by OOC. If the **SUBRECIPIENT** fails to timely submit a final financial closeout report, it shall be in default on this Agreement and shall return the Subaward Funds in full to the **NATION** within fifteen (15) days following the reporting deadline. The **SUBRECIPIENT** shall be required to return these Subaward Funds without first receiving Notices of Default or Termination from the **NATION**.
- i. The **SUBRECIPIENT** shall keep detailed and accurate records of all expenditures and receipts related to this Agreement, and shall provide the **NATION** with any reporting summarizing actual expenditures, as requested by the FRF Office, OOC, or the Administrative Oversight, including but not limited to:
- i. Inventory listing of all property purchased with the Subaward Funds costing \$5,000 or more with an expected useful life of more than one year;
 - ii. Documentation that the costs incurred were fair and reasonable;
 - iii. Payroll records;
 - iv. General ledger;
 - v. Cash disbursements journal;
 - vi. Contracts and purchase orders with contractors and vendors;
 - vii. Vendor invoices;

- viii. Expenditure reports; and
 - ix. Debt agreements.
- j. The **SUBRECIPIENT** shall also assist the Administrative Oversight to prepare and present quarterly reports to its legislative oversight committee of the Navajo Nation Council in accordance with the requirement in Section 15 of CJN-29-22.
- k. All financial reporting and record keeping requirements shall survive the expiration and termination of this Agreement.
14. **Single Audit.**
- a. The Single Audit Act applies to the expenditure of Navajo Nation Fiscal Recovery Funds. **SUBRECIPIENT** shall have a Single Audit performed by an independent external auditor if it expends Seven Hundred and Fifty Thousand (\$750,000) or more dollars of federal funds in one fiscal year.
 - b. **SUBRECIPIENT** can use the two (2%) percent administrative cost allocated in Section 10 of this Agreement to pay for the Single Audit.
15. **The Nation's Right to Inspect Places of Business and to Inspect and Audit Books and Records.**
- a. The **SUBRECIPIENT** agrees that the **NATION** may, at reasonable times, inspect the part of the plant or place of business and the project worksites of the **SUBRECIPIENT** that are related to the performance of this Agreement; and the **SUBRECIPIENT** further agrees that the **NATION** and its auditors, may at reasonable times and places, inspect and audit the **SUBRECIPIENT** books and records to the extent that such books and records relate to the performance of this Agreement. The **SUBRECIPIENT** shall maintain such books and records, and such books and records of any Subcontractor, for at least five (5) years after all Subaward Funds have been expended by the **SUBRECIPIENT** or returned to the **NATION**, or from the date of final payment under this Agreement, whichever is later.
 - b. Further, the **SUBRECIPIENT** agrees to include in any Subcontractor agreement related to this Agreement, provisions that the Subcontractor agrees (i) that the **NATION** may, at reasonable times, inspect the part of the plant or place of business of the Subcontractor that is related to the performance of this Agreement; (ii) that the **NATION** may, at reasonable times and places, inspect and audit the Subcontractor's books and records to the extent that such books and records relate to the performance of this Agreement; and (iii) that the Subcontractor shall maintain its books and records related to the performance of this Agreement for at least five (5) years from the date of the **SUBRECIPIENT** final payment under this Agreement.
16. **Reserved.**
17. **Evaluation and On-Site Inspection.**
- a. **Progress Inspections.** The Administrative Oversight and the FRF Office will conduct periodic on-site monitoring to ensure efficient completion of the work.

- b. Final Inspections. Within ten (10) calendar days after completion of the project, the **SUBRECIPIENT** shall notify the Administrative Oversight and the FRF Office, in writing, of completion of the work. The **SUBRECIPIENT** and the Administrative Oversight and the FRF Office shall perform a final inspection no later than fifteen (15) days from the date the Administrative Oversight and the FRF Office receive the completion notice.

18. Assignment.

- a. The **SUBRECIPIENT** shall not assign or otherwise transfer its rights, nor delegate any of its obligations, under this Agreement without prior written approval from the **NATION**. This Agreement is for the exclusive benefit of the **SUBRECIPIENT** and the **NATION**, and not for the benefit of any third party, including without limitation, any owner, partner, board member, employee, or volunteer of the **SUBRECIPIENT**.
- b. The **SUBRECIPIENT** shall not use Subaward Funds to grant subawards to other entities.
- c. The **SUBRECIPIENT** shall not pledge nor otherwise assign any monies due under this Agreement or any claim arising thereunder, to any party or parties, bank, trust company or other financial institutions.
- d. The **SUBRECIPIENT** shall immediately provide written notification to the **NATION** of any changes in the **SUBRECIPIENT'S** size or structure that would affect the **SUBRECIPIENT'S** eligibility for or ability to manage the Subaward Funds; any circumstances preventing expenditure of Subaward Funds by the **SUBRECIPIENT** for the purposes described in this Agreement; or any expenditure using Subaward Funds made for any purpose other than those for which the Agreement is intended.

19. False Statements by Subrecipient.

By acceptance of this Agreement, the **SUBRECIPIENT** makes all the statements, representations, warranties, guarantees, certifications, and affirmations contained herein. If any of the statements, representations, warranties, guarantees, certifications, and affirmations are false or if the **SUBRECIPIENT** in any other way executes the Agreement including false statements, or it is subsequently determined that the **SUBRECIPIENT** has violated any of the statements, representations, warranties, guarantees, certifications, or affirmations included in this Agreement, the **NATION** may consider such an act a default under this Agreement and may terminate or void this Agreement for cause and pursue other remedies available to the **NATION** under this Agreement and all applicable laws.

20. Conflicts of Interest.

- a. Each **PARTY** warrants that there was no improper influence involved in the granting of the Subaward to the **SUBRECIPIENT**, and each **PARTY** further warrants that it did not and will not employ, retain, or contract with any person or entity on a contingent compensation basis for the purpose of seeking, obtaining, maintaining, or extending this Agreement. Each **PARTY** agrees, warrants, and represents that no gratuity whatsoever has been or will be offered or conferred with a view towards obtaining, maintaining, or extending this Agreement.
- b. The officials and employees of the **PARTIES** shall not have any personal economic

interest or special interest, direct or indirect, which gives rise to a conflict of interest or would otherwise violate the Navajo Nation Ethics in Government Law, 2 N.N.C. §§3741 *et seq.*, with respect to this Agreement. The **SUBRECIPIENT** shall disclose in writing to the **NATION** any potential conflict of interest, as defined in the Ethics in Government Law, affecting the Subaward Funds. The **NATION** will review all disclosed potential conflicts of interest and may terminate this Agreement according to Article 28 of this Agreement.

- c. The **SUBRECIPIENT** understands and agrees it will maintain a conflict of interest policy consistent with 2 C.F.R. § 200.318(c) and that such policy is applicable to each activity funded under this Subaward. The **SUBRECIPIENT** shall disclose in writing to the **NATION** any potential conflict of interest affecting the Subaward Funds in accordance with 2 C.F.R. § 200.112. The **SUBRECIPIENT** will establish safeguards to prohibit its officers, agents, employees, and members from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, self-dealing, or personal gain, whether for themselves or others, particularly those with whom they have family, business, or other ties. The **SUBRECIPIENT** will operate with complete independence and objectivity without potential, actual, or apparent conflict of interest with respect to its performance under this Agreement.

21. Fraud, Waste, and Abuse.

- a. The **SUBRECIPIENT** understands that the **NATION** will not tolerate any type of fraud, waste, abuse, or misuse ("misuse") of Subaward Funds received from the **NATION**. The **SUBRECIPIENT** understands and agrees that misuse of Subaward Funds shall be considered an act of default under this Agreement as grounds for the **NATION** to terminate this Agreement, and may further result in a range of penalties, including suspension of current and future funds; ineligibility for, suspension, or debarment from Navajo Nation contract opportunities; recoupment and offset of monies provided under an award; and civil and/or criminal penalties. In the event the **SUBRECIPIENT** becomes aware of any allegation or a finding of fraud, waste, or misuse of funds received from the **NATION** or made against the **SUBRECIPIENT**, the **SUBRECIPIENT** shall immediately notify the **NATION** of said allegation or finding and continue to inform the **NATION** of the status of any on-going investigations into the allegations or steps being taken to remedy the finding.
- b. In accordance with 41 U.S.C. § 4712, the **SUBRECIPIENT** shall provide protections for whistleblowers. The **SUBRECIPIENT** shall not discharge, demote, or discriminate against an employee in reprisal for disclosing to the **SUBRECIPIENT**, the **NATION**, or relevant federal authorities, evidence of gross mismanagement or waste of the Subaward, an abuse of authority relating to the Subaward, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to the Subaward.

22. Taxes.

The **SUBRECIPIENT** shall comply with all applicable Navajo Nation tax laws under Title 24 of the Navajo Nation Code and corresponding regulations as amended from time to time. The **SUBRECIPIENT'S** contractor is subject to and shall be liable for payment of the Navajo Nation Sales Tax, at the prevailing rate, on gross receipts for all work performed within the territorial jurisdiction of the Navajo Nation pursuant to 24 N.N.C. § 601 *et seq.*, and the Navajo Nation Sales Tax Regulations § 6.101 *et seq.*, as amended from time to time, except that work performed within the

To 'Nanees' Dizi Local Government ("Tuba City Chapter") or the Kayenta Township is subject to their respective local sales taxes as amended from time to time. In addition to being subject to Navajo Nation Sales Tax, the **SUBRECIPIENT'S** contractor is subject to local sales tax on gross receipts for all work performed within a governance-certified chapter that imposes a local sales tax pursuant to a duly enacted local tax ordinance and the Uniform Local Tax Code, 24 N.N.C. § 150 *et seq.* The **SUBRECIPIENT'S** contractor is solely responsible for the payment of all applicable taxes related to this Agreement, and the **NATION** is not responsible for withholding or paying any income taxes, Federal Insurance Contributions Act (FICA) taxes, unemployment taxes, or any other taxes, from any payments owed to the **SUBRECIPIENT'S** contractor, nor shall the **NATION** be responsible for remitting the **SUBRECIPIENT'S** contractor share of employment taxes to the federal or any state governments.

23. Insurance Coverage.

The **SUBRECIPIENT** shall obtain and maintain adequate insurance coverage as recommended and verified by the Navajo Nation Risk Management Program ("RMP"). The **SUBRECIPIENT** shall provide its Verification of Insurance indicating they are in good standing with the Nation's insurance. The **SUBRECIPIENT** shall notify the Administrative Oversight, the FRF Office and the RMP, c/o The Navajo Nation, P.O. Box 1690, Window Rock; Arizona 86515 within five (5) days of any change in the insurance policy. Failure to fully comply with this provision shall render this Agreement voidable by the **NATION** discretion.

24. Modifications.

- a. The **NATION** and the **SUBRECIPIENT** may agree to modify the Agreement. Such modifications include, but are not limited to, modifying the Scope of Work, adding funds to previously un-awarded cost items or categories, changing funds in any awarded cost item or category, de-obligating awarded funds, or changing the **SUBRECIPIENT'S** Authorized Representative. The terms of any such modifications must be made in writing, and must be signed by both the **SUBRECIPIENT** and the **NATION** to take effect.
- b. Modifications must adhere to the requirements of Council Resolution CJN-29-22 and the Fiscal Recovery Fund Procedures set forth in the Budget and Finance Committee Resolution BFS-31-21. All modifications shall require review by the Department of Justice ("DOJ") for an initial eligibility determination and a determination of whether legislative approval of the modification is required. Certain modifications may require approval by the Navajo Nation Council or Committees of Council. For any modification that includes a modification of the Project's budget, a Budget Revision Request form, shall be completed by the **SUBRECIPIENT** and submitted first to the Authorized Representative and the FRF Office for review and then forwarded to DOJ for review and the OMB for approval.

25. Remedies for Non-Compliance.

- a. If the **NATION** determines that the **SUBRECIPIENT** materially fails to comply with any term of this Agreement, whether stated in a federal or Navajo Nation statute, regulation, an assurance, legislation, a notice of award, or any other applicable requirement, the **NATION** will issue a Notice of Failure to Comply, of Suspension, or of Termination, and may take action, in its sole discretion, including but not limited to:
 - i. Changing the **NATION'S** risk assessment of the **SUBRECIPIENT** and requiring

- ii. additional and more stringent reporting from the SUBRECIPIENT;
 - iii. Placing liens on the SUBRECIPIENT's assets purchased with the Subaward Funds;
 - iv. Temporarily withholding disbursements of Subaward Funds pending correction of the deficiency;
 - v. Disallowing or denying use of Subaward Funds for all or part of the cost of the activity or action not in compliance;
 - vi. Disallowing claims for reimbursement;
 - vii. Wholly or partially suspending this Agreement;
 - viii. Requiring return of previous disbursements of Subaward Funds;
 - ix. Prohibiting the SUBRECIPIENT from applying for or receiving additional funds for other programs administered by the Navajo Nation until repayment to the NATION is made and any other compliance or audit finding is satisfactorily resolved;
 - x. Reducing the amount of the Subaward from the NATION;
 - xi. Imposing a Corrective Action Plan;
 - xii. Withholding disbursements of future awards from the NATION, and deeming the SUBRECIPIENT to be ineligible for future business opportunities with the NATION, including but not limited to: awards; contracts; grants; leases; rights of way; licenses; loans, permits;
 - xiii. Offsetting future awards and payments to the SUBRECIPIENT;
 - xiv. Terminating this Agreement; or
 - xv. Taking other enforcement action or remedies, including imposing sanctions without first requiring a Corrective Action Plan, or pursuing other legal remedies.
- b. The SUBRECIPIENT'S costs resulting from obligations incurred during a suspension or after termination of this Agreement will not be allowable unless the NATION expressly authorizes such costs in the Notice of Failure to Comply, of Suspension, or of Termination. Absent such express authorization, the SUBRECIPIENT shall return that portion of the Subaward Funds to the NATION.

26. Non-Waiver.

No failure on the part of the NATION to act, and no delay in exercising any right hereunder shall operate as a waiver thereof; nor shall any single or partial act or exercise by the NATION of any right hereunder preclude any other or further exercise thereof or the exercise of any other right. The remedies herein provided are cumulative and not exclusive of any remedy available to the NATION at law or in equity.

27. Expiration or Termination of the Agreement.

- a. The NATION may, at its sole discretion, terminate this Agreement for cause or convenience, without recourse, liability, or penalty against the NATION, upon Written Notice to the SUBRECIPIENT, without further notice to or opportunity to cure by the SUBRECIPIENT. Such notification of termination will be effective on the date of the notification, if no other effective date is specified in the Notice of Termination;
- b. The NATION and the SUBRECIPIENT may mutually agree to terminate this Agreement. The NATION in its sole discretion will determine if, as part of the agreed termination, the

SUBRECIPIENT is required to return any or all of the disbursed Subaward Funds within ten (10) business days of termination. This determination and its terms shall be communicated in writing to the **SUBRECIPIENT**;

- c. Termination is not an exclusive remedy for the **NATION**, but will be in addition to any other rights and remedies provided in equity, at law, or under this Agreement. Following termination by the **NATION**, the **SUBRECIPIENT** shall continue to be obligated to the **NATION** for an accounting of and the return of Subaward Funds in accordance with applicable provisions of this Agreement. In the event of termination under this Section, the **NATION's** obligation to reimburse the **SUBRECIPIENT** is limited to allowable costs incurred and paid by the **SUBRECIPIENT** prior to the effective date of termination, and any costs determined by the **NATION** in its sole discretion to be allowable, reasonable, and necessary for cost-effective wind up of the allocation.
- d. Termination of this Agreement for any reason, or expiration of this Agreement shall not release the **PARTIES** from any liability or obligation set forth in this Agreement that is expressly stated to survive any such termination or expiration. The rights and obligations pertaining to the allocation, close-out, cooperation, and provision of additional information, return of funds, audit rights, records retention, public information, and any other provision implying survivability shall remain in effect after the expiration or termination of this Agreement.

28. Disputes.

Any and all disputes arising under, related to, or in connection with this Agreement shall be resolved first through informal, good faith negotiation between the **PARTIES** under the laws of the Navajo Nation. The **PARTIES** shall use their best faith efforts to resolve any dispute informally and expeditiously through such negotiations at the staff level. Each **PARTY** shall designate a staff person to meet with the other **PARTY** at a mutually agreeable time and place. The **PARTIES** will honor all reasonable requests for relevant documents and information. If the dispute cannot be resolved within fifteen (15) business days, the **PARTIES** shall refer the matter to the Executive Director of DCD and the Chapter President, and shall consult with the Department of Justice, to assist with interpretation of this Agreement and applicable Navajo Nation laws and policies. If the **PARTIES** are unable to resolve the dispute, the **NATION** shall terminate this Agreement after consultation with the DOJ. The **SUBRECIPIENT** shall return any Grant Project Funds that are not Spent or Encumbered to the **NATION** pursuant to Section 7 of this Agreement.

29. Applicable Law and Jurisdiction.

- a. The **SUBRECIPIENT** shall comply with all Navajo Nation laws. Failure to comply with Navajo Nation law shall be an act of default, and grounds for termination of this Agreement by the **NATION**. The **SUBRECIPIENT** agrees to be subject to the jurisdiction of Navajo Nation courts and tribunals.
- b. This Agreement will be governed in all respects by the laws of the **NATION**, both as to interpretation and performance, without regard to conflicts of law or choice of law provisions. Any action arising out of or in connection with this Agreement may only be instituted and maintained in a Navajo Nation court.

30. Force Majeure.

Neither the **SUBRECIPIENT**, nor the **NATION** shall be required to perform any obligation under this Agreement or be liable or responsible for any loss or damage resulting from its failure to perform so long as performance is delayed by force majeure or acts of God, including but not limited to strikes, lockouts or labor shortages, embargo, riot, war, revolution, terrorism, rebellion, insurrection, flood, or natural disaster. For the purposes of this Agreement, COVID-19 shall not be considered a force majeure. The **SUBRECIPIENT** must inform the **NATION** of any force majeure events delaying performance of its obligations in writing, with proof of receipt of notice, within three (3) business days of the commencement of such force majeure or acts of God, or will otherwise waive this right as a defense.

31. No Obligation by Federal Government.

The **PARTIES** acknowledge and agree that the federal government is not a Party to this Agreement and is not subject to any obligations or liabilities to either Party, any third Party, or any subcontractor pertaining to any matter related to this Agreement.

32. Compliance with Federal Laws, Regulations, and Executive Orders.

- a. The **SUBRECIPIENT** will comply with all applicable federal laws, regulations, executive orders, policies, procedures, and directives, which may include but shall not be limited to: the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 C.F.R. Part 200; Procurement Standards in 2 C.F.R. Part 200 Subpart D; and applicable legal requirements cited in 2 C.F.R. Part 200 Appendix II and the **NATION**'s Financial Assistance Agreement with Treasury attached as Appendix F.
- b. The **SUBRECIPIENT** shall comply with all federal requirements in the ARPA; the Financial Assistance Agreement between Treasury and the **NATION**, identified as Appendix F; the CSLFRF Final Rule and other Treasury guidance in the form of Frequently Asked Questions; and the CSLFRF Compliance and Reporting Guidance, identified as Appendix G.
- c. For capital projects and infrastructure projects in excess of \$10 million, the **SUBRECIPIENT** will need to provide documentation of compliance with applicable wage and labor standards.
- d. Any publications produced with funds from this Subaward must display the following language: "This project [is being] [was] supported, in whole or in part, by federal award number 21.027 awarded to the Navajo Nation by the U.S. Department of the Treasury."

33. Certification Regarding Lobbying (2 CFR 200.450).

By signing this Agreement, the Authorized Representative certifies, to the best of his/her knowledge and belief, that no federally appropriated funds have been or will be paid, by or on behalf of the **SUBRECIPIENT**, to any person or entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement in accordance with 2 CFR 200.450. If any funds other than federally appropriated funds have been paid or will be paid to any person or entity for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in

connection with this federal contract, grant, loan, or cooperative agreement, the **SUBRECIPIENT** shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, to the **NATION**. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. § 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

34. No Agency or Employment Relationship.

In its performance of work pursuant to this Agreement, the **SUBRECIPIENT**, unless it is a Navajo Nation Chapter or Township, shall be an independent entity from the **NATION**. The **SUBRECIPIENT** shall not be considered an employee or agent of the **NATION**. Nothing in this Agreement shall be construed to create any agency or employment relationship between the **SUBRECIPIENT** or any of its employees and the **NATION**. Neither Party shall have any right, power, or authority to assume, create, or incur any expense, liability, or obligation, whether express or implied, on behalf of the other Party. Nothing in this Agreement shall be construed to create any agency or employment relation between the **PARTIES**, and the **SUBRECIPIENT** is free to make its services available to third parties. The **SUBRECIPIENT** is not eligible to participate in, nor eligible for coverage under, any **NATION** employee benefit plan or offering.

35. Indemnification.

Except where the **SUBRECIPIENT** is another Navajo Nation Governmental Entity, such as a Chapter or Township, the **SUBRECIPIENT** agrees to hold harmless and indemnify the **NATION** against any and all losses, costs, damages, claims, accident or injury to person or property including death, attorneys' fees, expenses, and other liability whatsoever (collectively, "Claims"), arising under, related to, or in connection with this Agreement, except to the extent such Claims are directly caused by the gross negligence or wanton and willful conduct of the **NATION** or to the extent they result from the negligence of **NATION** officials or employees as provided for and in accordance with 1 N.N.C. § 551 *et seq.*

36. Rights of Other Parties.

Nothing in this Agreement shall be interpreted to create any rights in any third party that is not an entity or subdivision of the Navajo Nation government.

37. Conflicting and Additional Terms.

All additional terms and conditions of the **SUBRECIPIENT** are attached hereto and incorporated into this Agreement, provided however that in the event of any conflict between these Terms and Conditions and any additional terms and conditions offered by the **SUBRECIPIENT**, these Terms and Conditions shall control and govern. Any additional terms and conditions not attached to this Agreement shall have no force or effect.

38. Severability.

If any provision of this Agreement is held invalid by the Courts of the **NATION**, all remaining provisions which can be implemented shall remain in force and be given full force and effect.

IN WITNESS WHEREOF, we the undersigned hereby execute this Agreement:

For the SUBRECIPIENT:

Rosanna Jumbo-Fitch
Chapter President
Chinle Chapter
P.O. Box 1809, Chinle AZ 86503

08-24-2023
Date

For THE NAVAJO NATION:

[Signature] NOV 07 2023
Buu Nygren, President
The Navajo Nation
Window Rock, AZ 86515

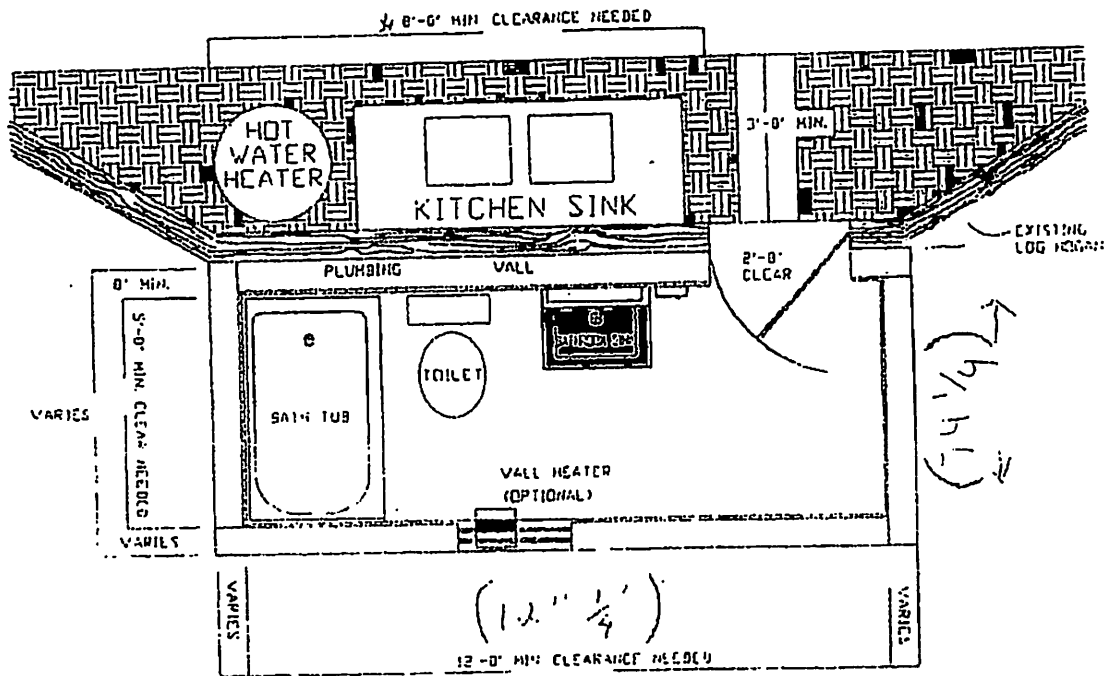
Appendix A

Scope of Work

Bathroom Additions
Scope of Work

BATHROOM ADDITION-FLOOR PLAN

HOME'S WITH NO FLOORS WILL HAVE TO PROVIDE A CONCRETE FLOOR TO SET WATER HEATER AND KITCHEN SINK.



GENERAL NOTES

THIS DOES NOT PROVIDE BATHROOM ADDITIONS PLEASE CONTACT YOUR CHAPTER FOR INFORMATION ON ASSISTANCE WITH A BATHROOM ADDITION.

1. BATHROOM ADDITION MUST BE BUILT PER GUIDANCE FROM LICENSED CARPENTERS AND ELECTRICIANS

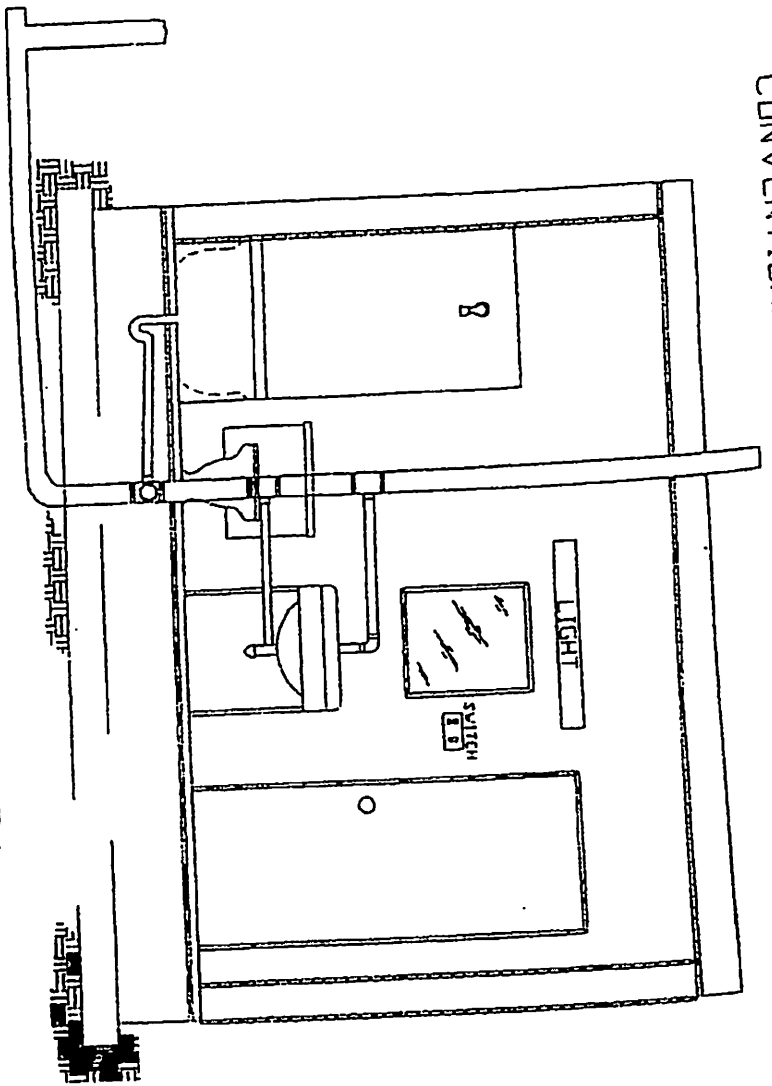
2. CONSTRUCT BATHROOM ADDITION STRUCTURE ON THE SAME END OF HOUSE WHERE THE SEPTIC TANK OR SEWERLINE CONNECTION WILL BE INSTALLED

3. PROVIDE SINK CONNECTION TO WATER TAP AND SINKER TO PROVIDE HOT AND COLD WATER LINES AND KEEP FLOOR DRY

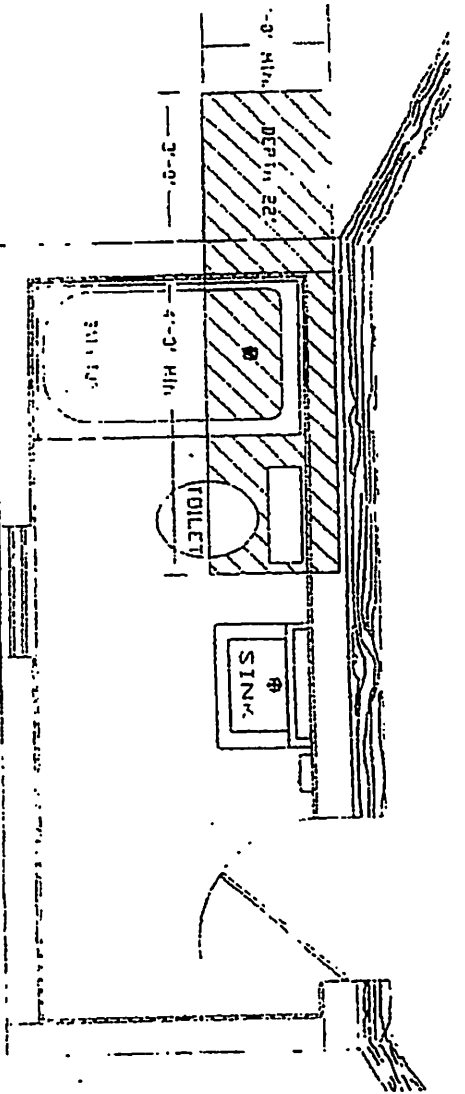
4. FOR ADDITIONAL GUIDANCE CONTACT MANY FARMS AT THE ADDRESS OR PHONE NO 528-781-3877

DEPARTMENT OF HEALTH AND HUMAN SERVICES U.S. PUBLIC HEALTH SERVICE INDIAN HEALTH SERVICE	
BATHROOM ADDITION FLOOR PLAN SHEET 1 OF 1 PUBLIC LAW 88-141	
OFFICE OF ENVIRONMENTAL HEALTH & ENGINEERING CHINLE SERVICE UNIT MANY FARMS OSH & E	
DRAWN BY: B.C. DATE: Aug. 2007	CHECKED BY: J.A. DATE: Aug 2008

CONVENTIONAL PLUMBING - DOWN FLUSH TOILET

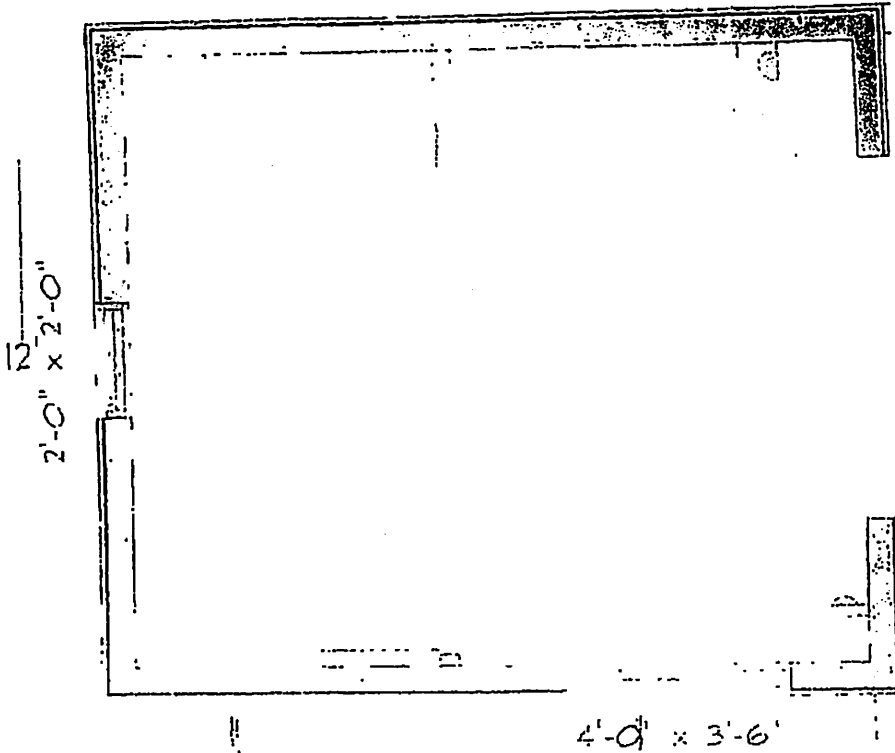


FRONT ELEVATION
SCALE: NOT TO SCALE



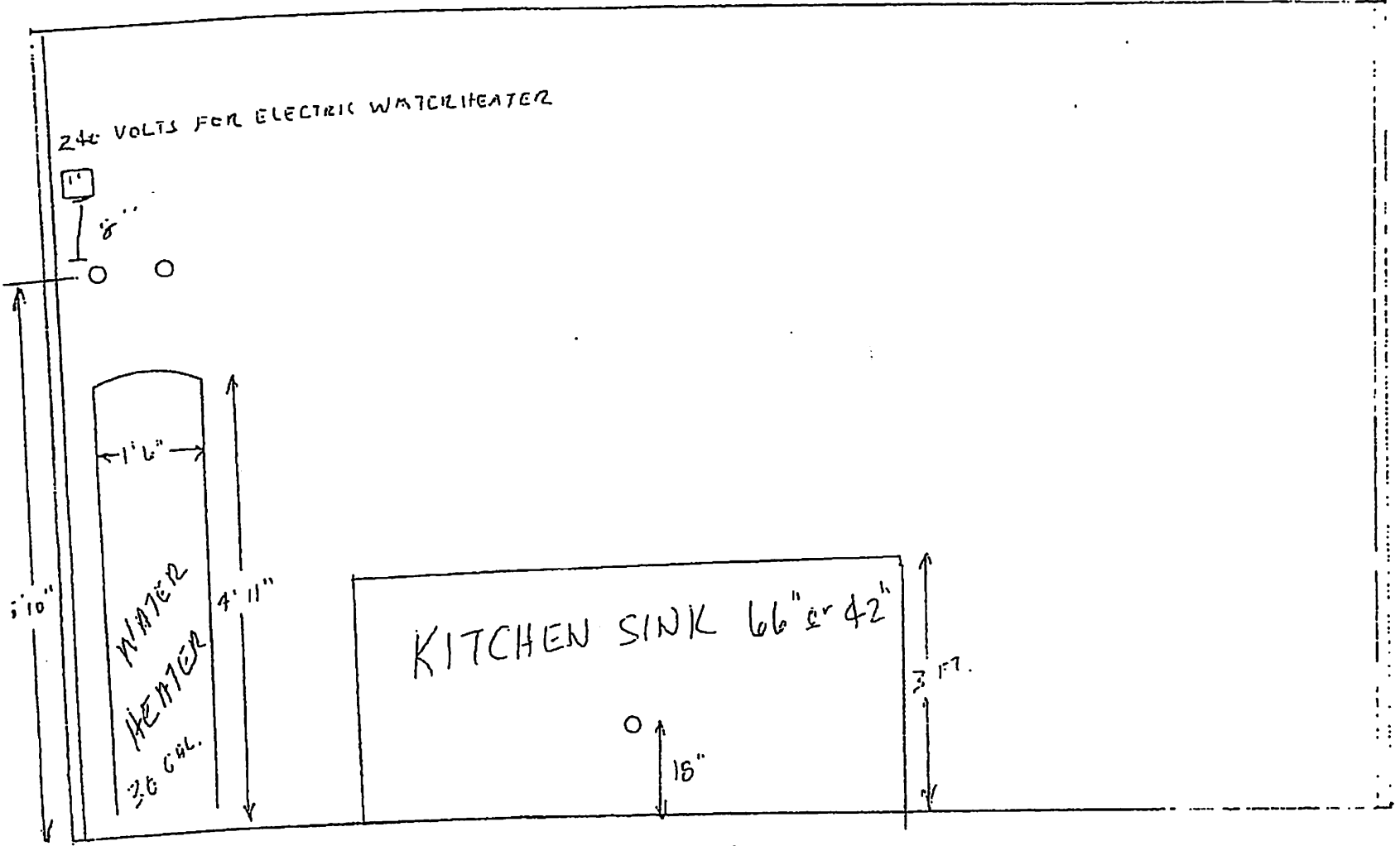
FRONT ELEVATION
SCALE: NOT TO SCALE

NOTE: CONTRACTOR MUST DIG
AND SET GROUND RODS
PIPE OR CABLES



12' x 11' combo bathroom addition
FLOOR PLAN OF COMBO BATHROOM
ADDITION not to scale

12' x 11' combo bathroom addition



240 VOLTS FOR ELECTRIC WATERHEATER



WATER
HEATER
30 GAL.

P4000231

KITCHEN SINK 66" x 42"

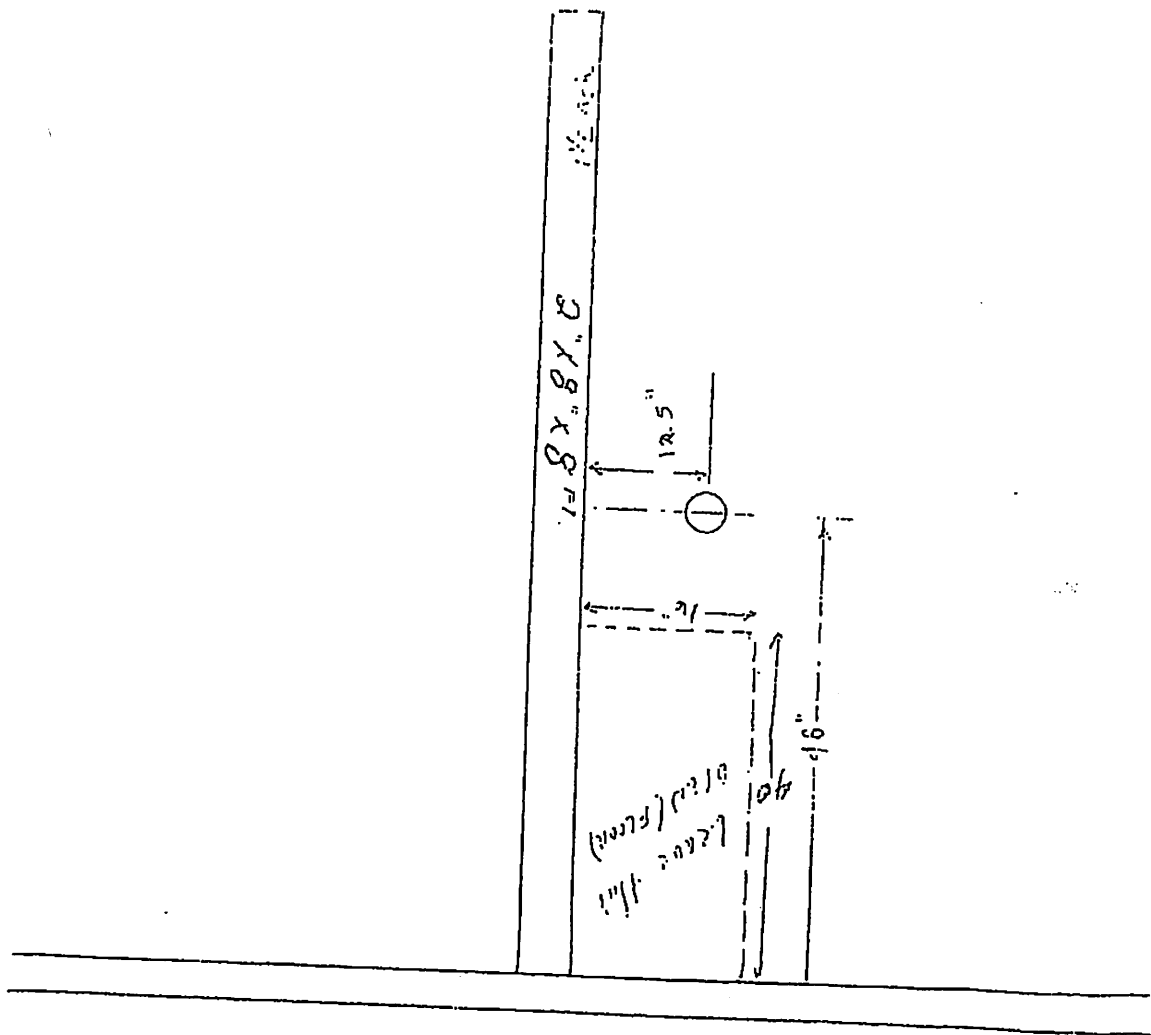
5' 10"

1' 6"

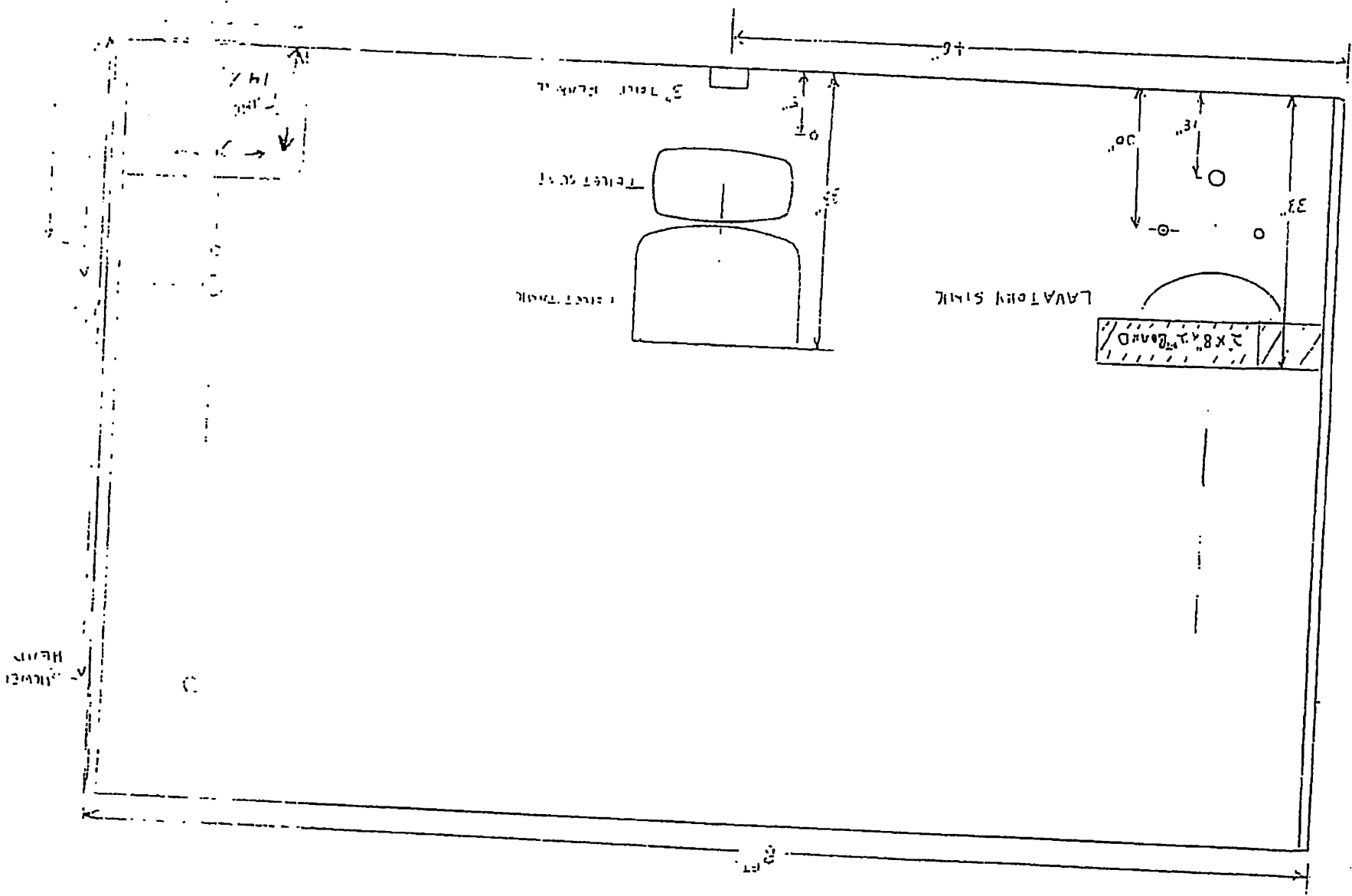
4' 11"

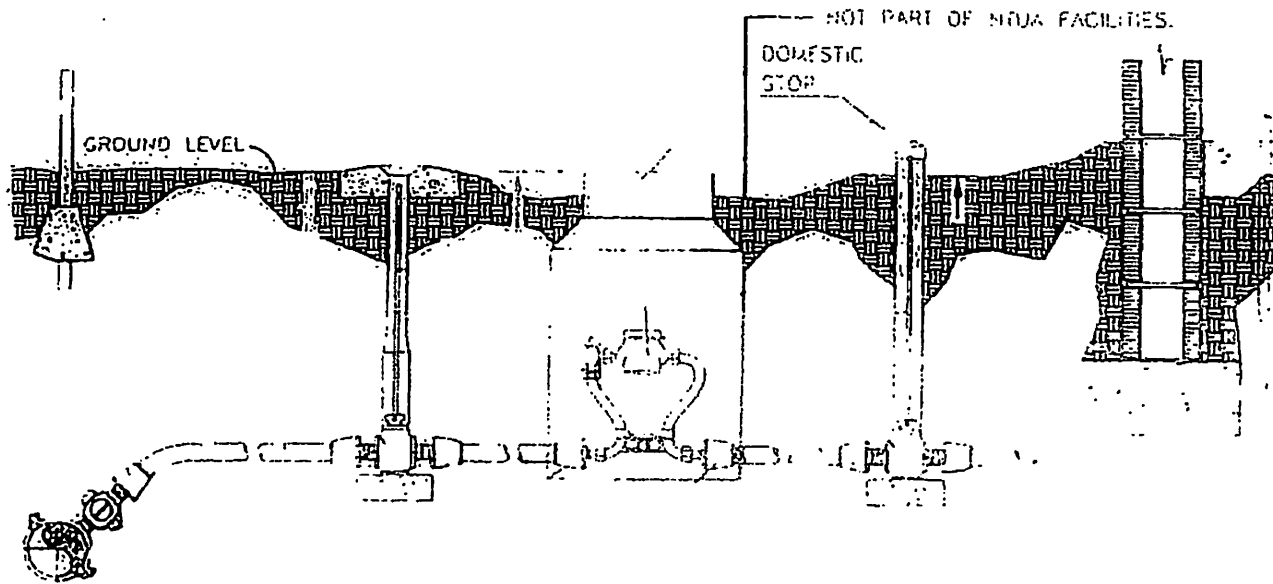
18"

3 FT.



Handicap er Reaktor Plumbing





Community Spider Rock
 (1/21/2018)

Recommended Facilities

Project Hse #	Homeowner	Chapter	Home #	House Type	1st Service	Water	Sewer	SW	Numbering Required	BR Add. Required	Application Recieved	1st Site Visit Completed	Entered in HITS	(Y/N) Reason for N?
1	Allred, Katherine	Chinle	74768	E-1	Yes	Yes	Yes	No	No	No	No	No	Yes	Yes
2	By [unclear]	Chinle	74768	E-1	Yes	Yes	Yes	No	No	No	No	No	Yes	Yes
3	Chee, Sam	Chinle	73932	E-1	Yes	Yes	Yes	No	No	No	No	No	Yes	Yes
4	Claw, Maureen P.	Chinle	47203	E-1	Yes	Yes	Yes	No	No	No	No	No	Yes	Yes
5	Claw, Melissa	Chinle	49033	E-1	Yes	Yes	Yes	No	No	No	No	No	Yes	Yes
[Redacted Row]														
[Redacted Row]														
16	Lynch, Jenevieve Ann	Chinle	43775	E-1	Yes	Yes	Yes	No	No	No	No	No	Yes	Yes
17	Lynch, Paul J.	Chinle	74106	E-1	Yes	Yes	Yes	No	No	No	No	No	Yes	Yes
[Redacted Row]														
20	Shorly, Sally	Chinle	74107	E-1	Yes	Yes	Yes	No	No	No	No	No	Yes	Yes
[Redacted Row]														
23	Thomas, Vincent	Chinle	75165	E-1	Yes	Yes	Yes	No	No	No	No	No	Yes	Yes
[Redacted Row]														
[Redacted Row]														

**Chinle Chapter
Priority 1: Bathroom Additions
Proposed Budget**

\$8,000.00 - \$8,500.00 Per Home

34 Existing Bathroom Additions

31 New Bathroom Additions

Total of 65 Bathroom Additions included

Chinle Chapter employees have 4 workers in one construction crew (includes 1 supervisor and 3 laborers). The labor rate varies from \$10.00 to \$14.00 per laborer and Supervisor. Total of four construction crews would be used on these projects.

Total Budget: \$552,500.00

**Chinle Chapter
Proposed Estimated Schedule**

34 Existing Bathroom Additions

••••• 3-4 Weeks per CCG Construction

••••• 3-4 Weeks per OEHE and NECA (third party contractor)

Estimating 8 weeks for construction activities, does not include final NTUA connections and meters.

34 Bathroom Addition Schedule; includes 4 crews:

Calendar Working Days (Monday-Friday)

4 Crews: 8-9 Homes per crew

8 Homes per 2 construction crews, 9 Homes per 2 construction crews

Estimated Schedule: 6-8 Months, pending funds and homeowner requests.



DEPARTMENT OF HEALTH & HUMAN SERVICES
Navajo Area Indian Health Service

PUBLIC HEALTH SERVICE

Many Farms Field Office
Office of Environmental Health & Engineering
P.O. Box 694
Many Farms, AZ 86538
Phone: (928) 781-3817 Fax: (928) 781-3818

April 20, 2021

Chinle Chapter President
Box 1809
Chinle, AZ 86503

RE: Bathroom Additions Funding for IHS project NA-20-U62

Dez: Mrs. Jumbo, Chinle Chapter President

The Indian Health Service has funded the above project to serve 7 homes in the Chinle Chapter area. And a total of 7 homes will require plumbing, which the IHS will install. However, 7 homes will require bathroom additions constructed. As the IHS cannot fund nor construct bathroom additions, it has been stipulated in the Project Summary and Memorandum of Agreement that this portion of the project is the responsibility of the Chapter and/or the individual homeowner to construct these structures.

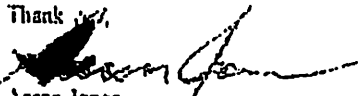
Note that the Project summary also stipulates that:

"If at the start of construction of the systems bathroom additions are not built and ready at the project home, the IHS will then offer the homeowner two options. First, a "short wall" can be installed inside the existing home. Short wall fixtures include a toilet, lavatory, and a single basin kitchen sink with a 42-inch long cabinet and water heater option. If the homeowner objects to the short wall option, a kitchen sink (only) can be placed inside the home to at least provide the house with piped potable water to the family. Both long and short walls will require finish carpentry materials and labor not supplied by IHS. This carpentry work is considered a homeowner responsibility and an in-kind contribution to the project."

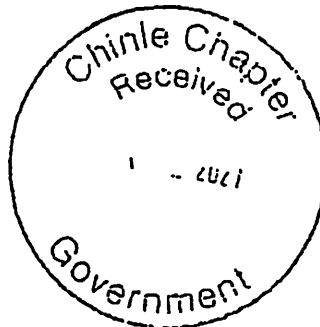
Please apply for the necessary funds for this task at your earliest convenience from the Navajo Nation CDBG funds. I have enclosed a list of the names of project participants whose homes require bathroom additions, an additional information of the individual plumbing layout drawing is also provided. Each bathroom addition built to the necessary specifications, is estimated to cost approximately \$8,500.

If you have any further questions or you need more information, please feel free to give me a call.

Thank you,


Aaron Jones
Project Manager
Many Farms OEHE-DSFC
Phone: 928-781-3823
Email: aaron.jones@ihs.gov

cc. 1.0 Correspondence U6?



Fort Defiance OEH&E Office
Phone: 928-729-8400
Archaeological Survey and T&E Review Request Attachment - Summary Table

Project Number: NA-18-U62 **Date:** November 27, 2019
Project Name: Many Farms Lake Phase 4 Cisterns
Project Manager's Name: Aaron Jones
Technician's Name: Perry Reed

HOMEOWNERS

House No.	Name	Community	Latitude	Longitude	Radial Survey (ft)	Depth Range (ft)	Buffer (ft)
01	Begay,	Many Farms	36° 14' 34.4"	109° 31' 41.6"	200' R	3-10	35
02	Hardy, J	Many Farms	36° 15' 19.9"	109° 31' 31.3"	200' R	3-10	35
03	Towne,	Many Farms	36° 15' 14.1"	109° 30' 41.5"	200' R	3-10	35
04	Reed,	Many Farms	36° 14' 55.8"	109° 31' 25.6"	250' R	3-10	35
05	Widefoot,	Many Farms	36° 14' 58.7"	109° 31' 47.2"	200' R	3-10	35
06	Yazzie	Many Farms	36° 14' 53.1"	109° 31' 28.5"	200' R	3-10	35
07	Yazzie,	Many Farms	36° 15' 11.2"	109° 31' 56.5"	200' R	3-10	35

FEATURES

Name	Community	Latitude	Longitude	Radial Survey (ft)	Depth Range (ft)	Buffer (ft)
LAGOON #1	Many Farms	36° 14' 33.5"	109° 31' 48.1"	300' R	3-20	35
LAGOON #2	Many Farms	36° 15' 19.7"	109° 31' 35.3"	300' R	3-20	35
LAGOON #3	Many Farms	36° 14' 54.2"	109° 31' 31.3"	300' R	3-20	35
LAGOON #4	Many Farms	36° 14' 57.8"	109° 31' 45.0"	300' R	3	

SUPPLEMENTAL SHEET (AIRS FORM)

IHS-NA-18-062 Many Farms Lake Phase 4 Cisterns, Many Farms Chapter, Apache County, Arizona
IS2-20-033

11.e. LOCATION- Land Status:

Designation	Chapter	Agency	County	State	Land Status
Seven (07) Homes:	Many Farms	Chinle	Apache	Arizona	Navajo Tribal Trust
01 Begay,	Many Farms	Chinle	Apache	Arizona	Navajo Tribal Trust
02 Hardy,	Many Farms	Chinle	Apache	Arizona	Navajo Tribal Trust
03 Towne,	Many Farms	Chinle	Apache	Arizona	Navajo Tribal Trust
04 Reed,	Many Farms	Chinle	Apache	Arizona	Navajo Tribal Trust
05 Wideloo,	Many Farms	Chinle	Apache	Arizona	Navajo Tribal Trust
06 Yazzie,	Many Farms	Chinle	Apache	Arizona	Navajo Tribal Trust
07 Yazzie,	Many Farms	Chinle	Apache	Arizona	Navajo Tribal Trust
LAGOON #1	Many Farms	Chinle	Apache	Arizona	Navajo Tribal Trust
LAGOON #2	Many Farms	Chinle	Apache	Arizona	Navajo Tribal Trust
LAGOON #3	Many Farms	Chinle	Apache	Arizona	Navajo Tribal Trust
LAGOON #4	Many Farms	Chinle	Apache	Arizona	Navajo Tribal Trust

13. LOCATION:

1. g. 3 h. UTM CENTER AREA, & 7.5' SERIES MAP NAME: Below are the UTM coordinates, legal descriptions, and 7.5' quadrangle topographic map references for IHS-NA-18-062. Refer to Figure 1 for the proposed undertaking.

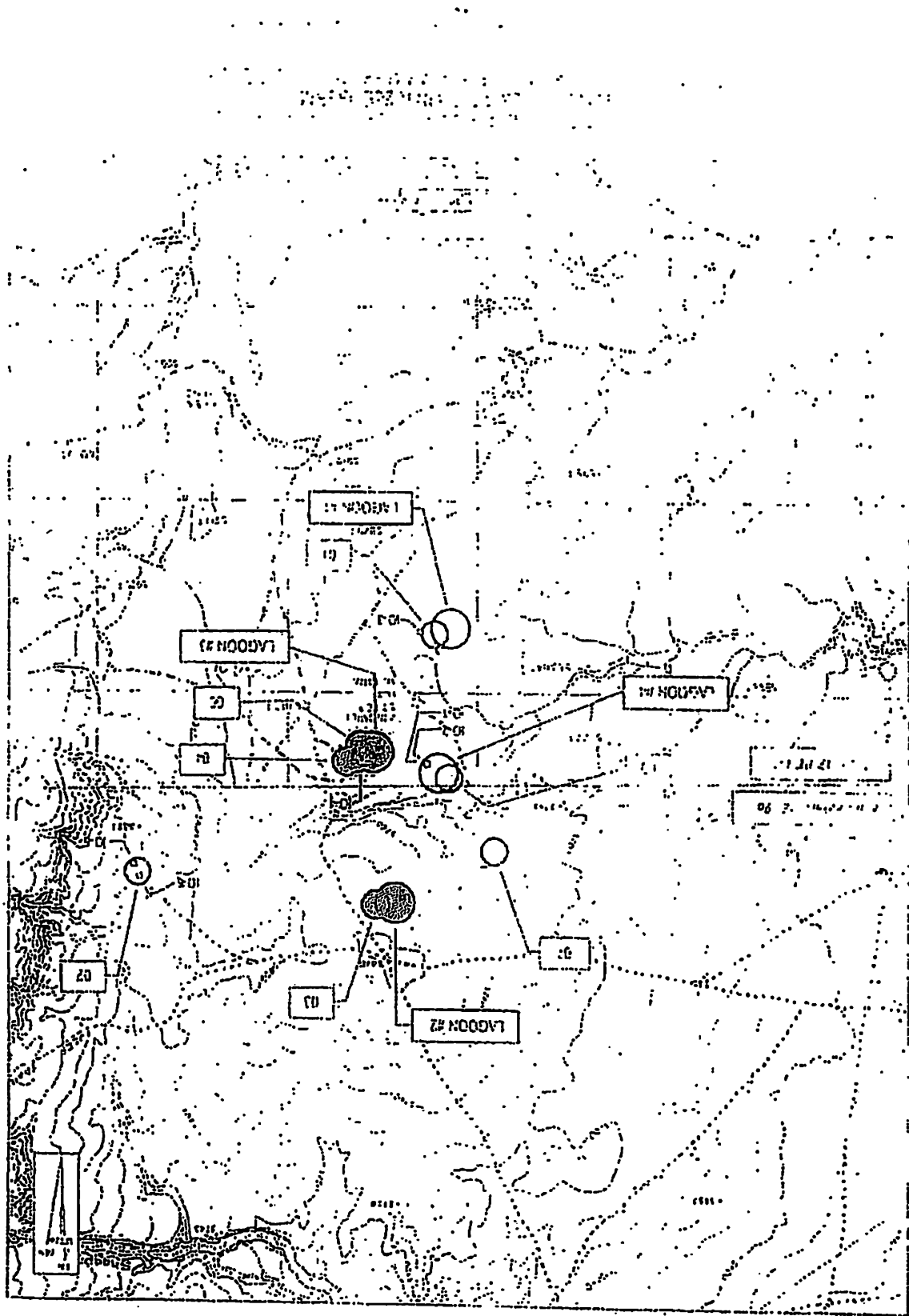
Designation	UTM Coordinates Zone 12		Legal Description		USGS 7.5' Quadrangle Map NAD 83	
	Northing	Easting	Section	Township	10 or 20' Grid	
01 Begay	4,011,892.09	632,169.42	NE¼ NE¼ Sec 27	33N	26E	Chinle, AZ PE 1982
02 Hardy,	4,013,299.17	632,460.05	NE¼ NE¼ Sec 23	33N	26E	Many Farms, AZ 1968
03 Towne	4,013,139.46	633,725.66	SW¼ NE¼ Sec 23	33N	26E	Many Farms, AZ 1968
04 Reed	4,012,558.72	632,634.69	NE¼ SE¼ Sec 22	33N	26E	Chinle, AZ PE 1982
05 Wideloo	4,012,639.89	632,093.15	NW¼ SE¼ Sec 22	33N	26E	Chinle, AZ PE 1982
06 Yazzie,	4,012,474.42	632,562.51	SE¼ SE¼ Sec 22	33N	26E	Chinle, AZ PE 1982
07 Yazzie	4,013,021.54	631,855.20	SW¼ NE¼ Sec 22	33N	26E	Many Farms, AZ 1968
LAGOON #1	4,011,863.03	632,082.47	NW¼ NE¼ Sec 27	33N	26E	Chinle, AZ PE 1982
LAGOON #2	4,013,291.49	632,380.32	SE¼ NE¼ Sec 22	33N	26E	Many Farms, AZ 1968
LAGOON #3	4,012,507.25	632,492.11	NE¼ SE¼ Sec 22	33N	26E	Chinle, AZ PE 1982
LAGOON #4	4,012,612.99	632,149.48	NW¼ SE¼ Sec 22	33N	26E	Chinle, AZ PE 1982

14. EPOR

a. Description of Undertaking: Project IHS-NA-18-062 proposes water and sewer service by installation of cisterns and constructing lagoons for seven (07) homes requiring cultural resource inventory of four (04) lagoons (135-foot radial survey area) and seven (07) homes (235-foot radial survey area). Construction and installation of the facilities will consist of construction vehicles and heavy machinery within the proposed area of effect for the placement of service lines and associated facilities, backfilling the excavated areas. The area of effect for IHS-NA-18-062 is 18.09 hectares. The total survey area for IHS-NA-18-062 is 50.24 acres (24.36 hectares).

b. Data Review: A part of this project research was conducted using the Navajo Cultural Resource Preservation Department's Cultural Resource Inventory of the Many Farms Chapter, Arizona. The research reviewed previous cultural resource inventories within one kilometer of the undertaking as follows:

Designation	Project Numbers	Site Numbers
01	IHS-NA-18-062	None
02		None



FOR IHS TECHNICIAN USE ONLY:

Homeowner Name: Yazic

SR No.: 3909

HITS Home No.: _____

Distance of nearest Community Water: miles

Distance of nearest Community Sewer: N/A

Home Assessment:

Existing Utilities at Home: () Gas (X) Electric () Telephone or () Other: _____

Is the house in good structural condition? (X) Yes () No

Home recently renovated? () Yes (X) No; If Yes, by whom or what program? _____

Water Heater Option: (X) Electric () Propane () Natural Gas

Is Plumbing complete? () Yes (X) No Note: Confirm by looking inside of home or mobile home

Plumbing Addition needed? (X) Yes () No

Existing Cistern System? () Yes (X) No

Existing Septic Tank/Drainfield? () Yes (X) No; If Yes, refer to Failed Drainfield Report sheet.

Soil Assessment:

Auger Depth (ft): 4'

Saturated (wet) soil present? () Yes (X) No

How deep is the Hardpan or Bedrock (ft)? < 4' () Not Present

Possible candidate for: () Drilled () Individual Leach (X) Other (SPACE)

Is site suitable for a Sewer system? (X) Yes () No, if No why? _____

Mobile Homes Section:

Water and sewer stubbed out to the exterior? () Yes () No

Wheels removed and tire skirting installed? () Yes () No

In this house feasible for IHS Services? (X) Yes () No

Add any Notes: Trap in the house.

[Draw a layout of proposed sanitation facilities]

Technician Name: Perry Reed

Date: 10-21-19

FOR IHS ENGINEER/MANAGER USE ONLY:

Project Name and No. _____ Resident No. _____

Delivered / Mailed SRD letter? () Yes () No

Approved By _____ Date: _____

FOR IHS ENGINEER/MANAGER USE ONLY

Homeowner Name: Kidderfoot

SR No: 576A

HITS Home No: _____

Home Latitude: 32° 14' 58.6"

Distance of nearest Community Water: Miles

Home Longitude: 109° 31' 47.0"

Distance of nearest Community Sewer: NA

Home Assessment:

Existing Utilities at Home () Gas (X) Electric () Telephone or () Other: _____

Is the house in good structural condition? (X) Yes () No

Does the house have a solid foundation? (X) Yes () No

Is the house insulated? (X) Yes () No

Home recently renovated? () Yes (X) No; If Yes, by whom or what program? _____

Water Heater Option: (X) Electrical () Propane () Natural Gas

Is Plumbing complete? () Yes (X) No Note: Confirm by looking inside of home or mobile home

Bathroom Addition needed? (X) Yes () No

Existing Cistern System? () Yes (X) No

Existing Septic Tank/Drainfield? () Yes (X) No; if Yes, refer to Federal Drainfield Report sheet.

Soil Assessment:

Auger Depth (ft): 6"

Saturated (well) soil present? () Yes (X) No

How deep is the Hardpan or Bed-rock (ft)? 250 feet () Not Present

Proposed candidate for: () Drainfield (X) Individual Lagoon () Ethon

Is domestic suitable for a Sewer system? (X) Yes () No, If No why? _____

Is this house feasible for IHS Services? (X) Yes () No

Additional Notes:

[Draw a layout of proposed sanitation facilities]

Prepared by: Perry Reed

Date: 10-27-19

FOR IHS ENGINEER/MANAGER USE ONLY

IDS Project Name and No: _____

Resident No: _____

Project Name and No: _____

Delivered (Mailed SRO Letter) () Yes () No

Received By: _____

Date: _____

FOR IHS ENGINEER/MANAGER USE ONLY

Homeowner Name: Towne

SR No.: 7472

HITS Home No.: _____

Home Latitude: 36° 15' 14.3"

Distance of nearest Community Water: Miles

Home Longitude: 107° 30' 4.11"

Distance of nearest Community Sewer: N/A

Home Assessment:

Existing Utilities at Home: Gas Electric Telephone or Other: L

Is the house in good structural condition? Yes No

Does the house have a solid foundation? Yes No

Is the house insulated? Yes No

Home recently renovated? Yes No; If Yes, by whom or what program? _____

Water Heater Option: Electrical Propane Natural Gas

Is Plumbing complete? Yes No *Note: Confirm by looking inside of home or mobile home*

Bathroom Addition needed? Yes No

Existing Cistern System? Yes No

Existing Septic Tank/Drainfield? Yes No; If Yes, refer to *Faded Drainfield Repair* sheet.

Soil Assessment:

Auger Depth (ft): 4'

Saturated (wet) soil present? Yes No

How deep is the Hardpan or Bedrock (ft)? <4' (Not Present)

Possible candidate for: Drainfield Individual Lagoon Other

Is home site suitable for a Sewer system? Yes No; If No why? _____

Is this house feasible for IHS Services? Yes No

Additional Notes: Electricity about 1/2 miles away. They run a generator to light up the wall outlets.

Mobile Home Section:

Water and sewer stubbed out to the exterior? Yes No

Wheels removed and the skirting installed? Yes No

{ Draw a layout of proposed sanitation facilities }

Technician's Name: Perry Reed

Date: 10-27-19

FOR IHS ENGINEER/MANAGER USE ONLY:

S.S. Project Name and No: _____

Resident No.: _____

Reviewed By: _____

Date: _____

FOR IHS TECHNIGIAN USE ONLY

Homeowner Name: Hurdly

SR No.: 4607

HITS Home No.: _____

Home Latitude: 36 15 20.0

Distance of nearest Community Water: Miles

Home Longitude: 109 31 52.1

Distance of nearest Community Sewer: N/A

Home Assessment:

Existing Utilities at Home: () Gas () Electric () Telephone or () Other: _____

Is the house in good structural condition? (X) Yes () No

Does the house have a solid foundation? (X) Yes () No

Is the house insulated? (X) Yes () No

Home recently renovated? () Yes (X) No; If Yes, by whom or what program? _____

Water Heater Option: (X) Electrical () Propane () Natural Gas

Is Plumbing complete? () Yes (X) No *Note: Confirm by looking inside of home or mobile home*

Bathroom Addition needed? (X) Yes () No

Existing Cistern System? () Yes (X) No

Existing Septic Tank/Drainfield? () Yes (X) No; If Yes, refer to Failed Drainfield Report sheet.

Soil Assessment:

Auger Depth (ft): 2.8'
Saturated (wet) soil present? () Yes (X) No
How deep is the Hardpan or Bedrock (ft)? 2.8' () Not Present

Possible candidate for: () Drainfield (X) Individual Leach () Eject.

Is the site suitable for a sewer system? (X) Yes () No; If No why? _____

Is this house suitable for IHS Services? (X) Yes () No

Additional Notes: 3 appl + BR addition

Mobile Homes Section:

Water and sewer stubbed out to the exterior? () Yes () No

Wheels removed and the skirting installed? () Yes () No

[Draw a layout of proposed sanitation facilities]

Technician's Name: Perry Reed

Date: 10-25-10

FOR IHS ENGINEER/MANAGER USE ONLY

SOS Project Name and No.: _____ Resident No.: _____

Checked / Mailed SRD Letter? () Yes () No

Reviewed By: _____ Date: _____

PARCHE TECHNICAL SERVICES

Homeowner Name: Yazzie

SR No.: 7471

HITS Home No.: _____

Home Latitude: 36° 14' 53.1"

Distance of nearest Community Water: _____

Home Longitude: 100° 31' 28.1"

Distance of nearest Community Sewer: _____

Home Assessment:

Existing Utilities at Home: Gas Electric Telephone or Other: *No electric

Is the house in good structural condition? Yes No

Does the house have a solid foundation? Yes No

Is the house insulated? Yes No

Home recently renovated? Yes No; If Yes, by whom or what program? _____

Water Heater Option: Electrical Propane Natural Gas

Is Plumbing complete? Yes No *Note: Confirm by looking inside of home or mobile home*

Bathroom Addition needed? Yes No

Existing Closet System? Yes No

Existing Septic Tank/Drainfield? Yes No; If Yes, refer to Failed Drainfield Report sheet.

Soil Assessment:

Mobile Homes Section:

Auger Depth (ft): 0'

Water and sewer stubbed out to the exterior? Yes No

Saturated (wet) soil present? Yes No

Wheels removed and the skirting installed? Yes No

How deep is the Hardpan or Bedrock (ft)? @ Surface Not Present

Possible candidate for: Drainfield In-ground Lagoon Eject

Is home site suitable for a Sewer system? Yes No; If No why? _____

Is this house feasible for IHS Services? Yes No

Additional Notes: 2 ppl.

[Draw a layout of proposed sanitation facilities]

Technician's Name: Ferry Reed

Date: 10-25-12

FOR IHS ENGINEER/MANAGER USE ONLY

SDS Project Name and No.: _____ Resident No.: _____

Prepared By: _____ Date: _____

Reviewed By: _____ Date: _____

CONCRETE TECHNICIAN REPORT

Homeowner Name: Reed

SR No.: 4963

HITS Home No.: _____

Home Latitude: 36° 14' 53.6"

Distance of nearest Community Water: 1.5

Home Longitude: 100° 31' 21.9"

Distance of nearest Community Sewer: N/A

Home Assessment:

- Existing Utilities at Home: () Gas (X) Electric () Telephone or () Other _____
- Is the house in good structural condition? (X) Yes () No
- Does the house have a solid foundation? (X) Yes () No
- Is the house insulated? (X) Yes () No
- Home recently renovated? () Yes (X) No, if Yes, by whom or what program? _____
- Water Heater Option: (X) Electric () Propane () Natural Gas
- Is Plumbing complete? () Yes (X) No Note: Confirm by looking inside of house or inside home
- Bathroom Addition needed? (X) Yes () No
- Existing Cistern System? () Yes (X) No
- Existing Septic Tank/Drainfield? () Yes (X) No; if Yes, refer to Failed Drainfield Report sheet

Soil Assessment:

- Auger Depth (ft): 2
- Saturated (wet) soil present? () Yes (X) No
- How deep to the Hardpan or Bedrock (ft)? @ surface ; Not Present
- Possible candidates for () Drainfield (X) Individual Lagoon () Eject
- Is home site suitable for a Sewer system? (X) Yes () No, if No why? _____
- Is this house feasible for HHS Services? (X) Yes () No

Mobile Home Section:

- Water and sewer stubbed out to the exterior? () Yes () No
- Wheels removed and the skirting installed? () Yes () No

Regional Notes: Person

[Draw a layout of proposed sanitation facilities]

Technician's Name: Perry Reed

Date: 10-25-19

FOR USE BY ENGINEERING MANAGERS ONLY

Site Plot Map No. and No. _____

Resident No.: _____

Plot No. and Address _____

Geotech / Mapped SHS Loner? () Yes () No

Restored By: _____

Date: _____

FOR IHS ENGINEER/MANAGER USE ONLY

Homeowner Name: Beagy

SR No.: 4079

HITS Home No.: _____

Home Latitude: 36° 14' 34.5"

Distance of nearest Community Water: 1/2 mi

Home Longitude: 109° 31' 44.2"

Distance of nearest Community Sewer: N/A

Home Assessment:

- Existing Utilities at Home: Gas Electric Telephone or Other _____
- Is the house in good structural condition? Yes No
- Does the house have a solid foundation? Yes No
- Is the house insulated? Yes No
- Home recently renovated? Yes No: If Yes, by whom or what program? _____
- Water Heater Condition: Electrical Propane Natural Gas
- Is Plumbing complete? Yes No Note: Confirm by looking inside of home at mobile home
- Insulation Addition needed? Yes No
- Existing Cistern System? Yes No
- Existing Septic Tank/Drainfield? Yes No: If Yes, refer to Failed Drainfield Report sheet

Soil Assessment:

- Auger Depth (ft): 2'
- Stratified (wet) soil present? Yes No
- How deep is the Hanpan or Bedrock (ft)? 2' Not Present
- Soil conditions for Drainfield Individual Leach Pit Eject
- Is site suitable for a sewer system? Yes No: If No, why? _____
- Is this house feasible for IHS Services? Yes No

Mobile Home Section:

- Water and sewer stubbed out to the exterior? Yes No
- Wheels removed and the skirting installed? Yes No

Additional Notes: SPP

[Draw a layout of proposed sanitation facilities]

Technician's Name: Ferry Reed

Date: 10-25-10

FOR IHS ENGINEER/MANAGER USE ONLY

Site No.:

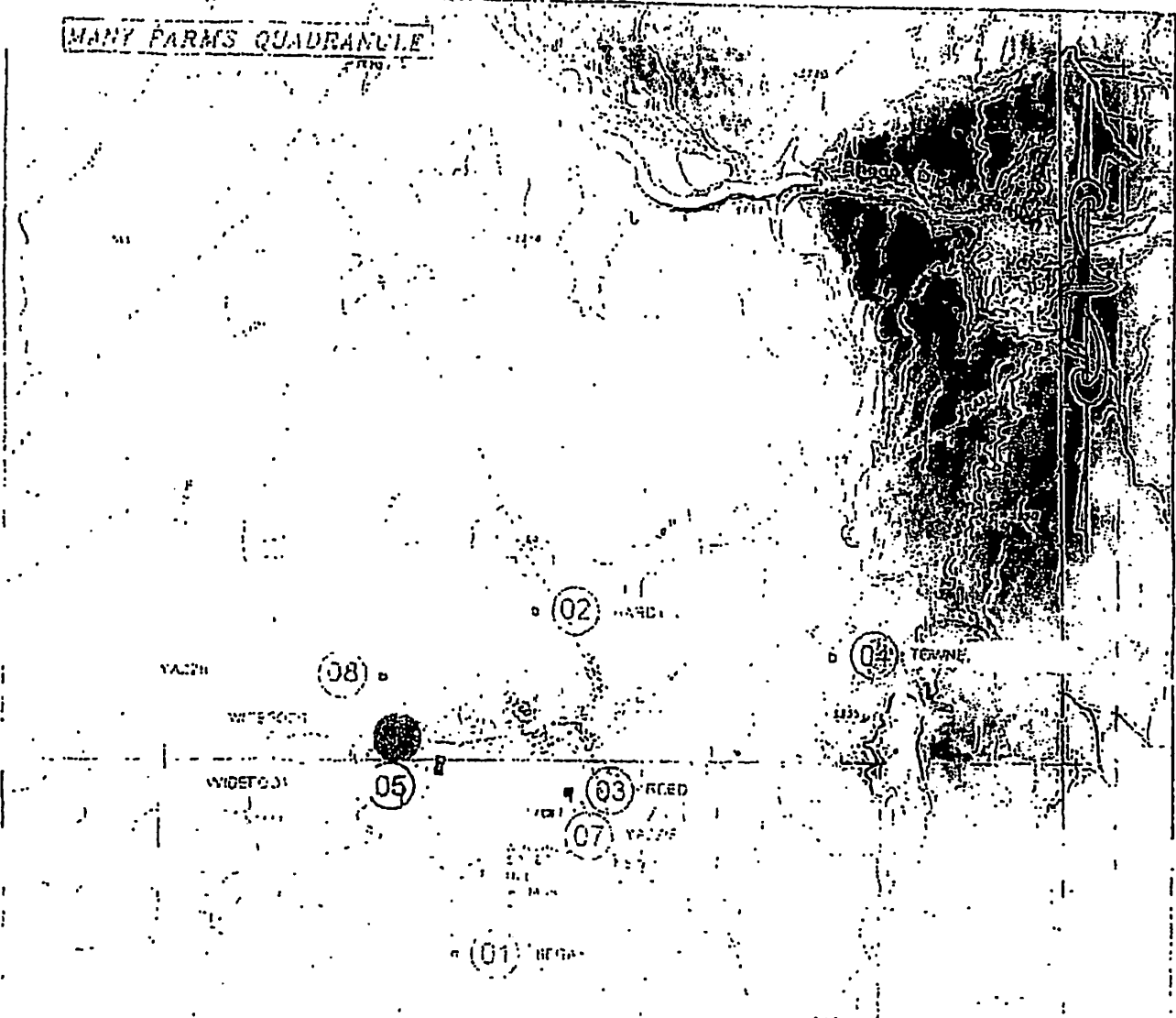
Resident No.:

Received By:

Or Mobile SRD Letter? Yes No

Date:

MANY FARMS QUADRANGLE



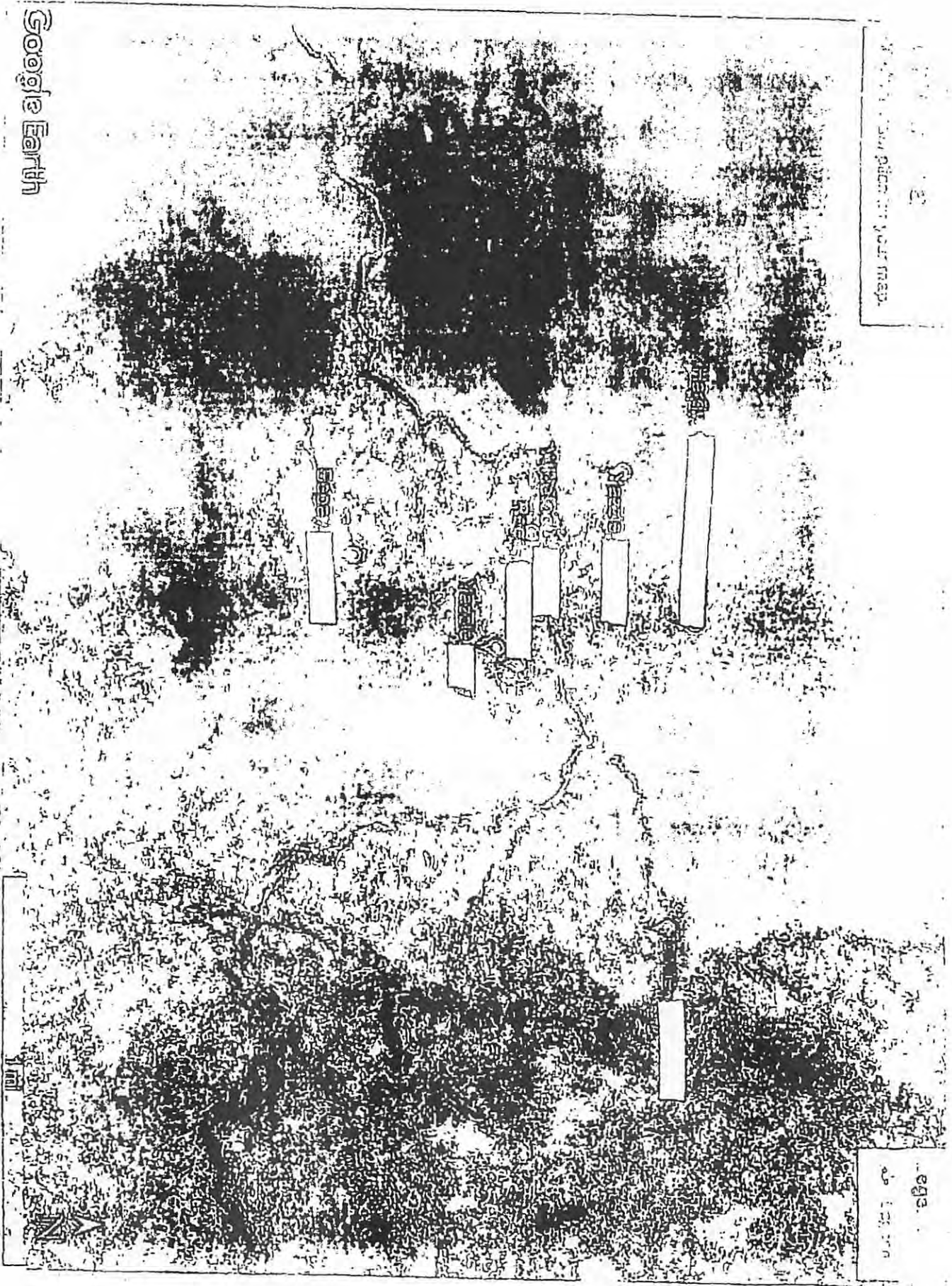
MANY FARMS QUADRANGLE

2000

1. 100' CONTOUR
 2. 100' CONTOUR
 3. 100' CONTOUR
 4. 100' CONTOUR

DEPARTMENT OF HEALTH AND HUMAN SERVICES
 U.S. PUBLIC HEALTH SERVICE
 OFFICE OF PUBLIC HEALTH SERVICES
 OFFICE OF COMMUNITY HEALTH SERVICES
 OFFICE OF COMMUNITY HEALTH SERVICES
 MANY FARMS LAKE PHASE 4
 PROJECT SUMMARY MAP
 SHEET 01 OF 01
 HA-18-1082
 PUBLIC MAP 44-112
 OFFICE OF ENVIRONMENTAL HEALTH & SAFETY
 COMMUNITY SERVICES UNIT
 MANY FARMS O&M 2-7
 STATE OF NEW YORK
 DATE 10/19/71
 COUNTY OF ALBANY
 DATE 04/19/71

1. Write the name of the place in your map.



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ଓଡ଼ିଶା
ର ମାନଚିତ୍ର



DEPARTMENT OF HEALTH & HUMAN SERVICES
Navajo Area Indian Health Service

PUBLIC HEALTH SERVICE

Many Farms Field Office
Office of Environmental Health & Engineering
P.O. Box 694
Many Farms, AZ 86538
Phone: (928) 781-3817 Fax: (928) 781-3818

April 20, 2021

Chinle Chapter President
Box 1809
Chinle, AZ 86503

RE: Bathroom Additions Funding for IHS project NA-17-F51

Dear Mrs. Jumbo, Chinle Chapter President

The Indian Health Service has funded the above project to serve 3 homes in the Chinle Chapter area. And a total of 3 homes will require plumbing, which the IHS will install. However, 1 home will require bathroom addition constructed. As the IHS cannot fund nor construct bathroom additions, it has been stipulated in the Project Summary and Memorandum of Agreement that this portion of the project is the responsibility of the Chapter and/or the individual homeowner to construct these structures.


Note that the Project summary also stipulates that:

"If at the start of construction of the systems bathroom additions are not built and ready at the project home, the IHS will then offer the homeowner two options. First, a "short wall" can be installed inside the existing home. Short wall fixtures include a toilet, lavatory, and a single basin kitchen sink with a 42-inch long cabinet and water heater option. If the homeowner objects to the short wall option, a kitchen sink (only) can be placed inside the home to at least provide the house with piped potable water to the family. Both long and short walls will require finish carpentry materials and labor not supplied by IHS. This carpentry work is considered a homeowner responsibility and an in-kind contribution to the project."

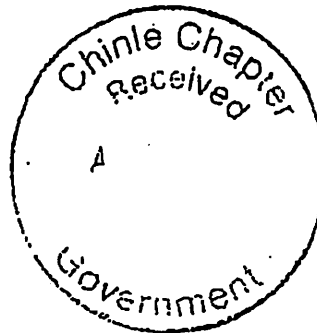
Please apply for the necessary funds for this task at your earliest convenience from the Navajo Nation CDBG funds. I have enclosed a list of the names of project participants whose homes require bathroom additions, an additional information of the individual plumbing layout drawing is also provided. Each bathroom addition, built to the necessary specifications, is estimated to cost approximately \$8,500.

If you have any further questions or you need more information, please feel free to give me a call.

Thank you,


Aaron Jones
Project Manager
Many Farms OEHE/DSFC
Phone: 928-781-3823
Email: aaron.jones@ihs.gov

cc: I.O Correspondence F51



Fort Defiance OEH&E Office
Phone: 928-729-8400
Archaeological Survey and T&E Review Request Attachment - Summary Table

Project Number: NA-17-F51
Project Name: Many Farms East Housing
Project Manager's Name: Aaron Jones
Technician's Name: Parry Reed

Date: March 9, 2020

HOMEOWNERS

House No.	Name	Community	Latitude	Longitude	Radial Survey (ft)	Depth Range (ft)
01	Gene, J	Pinon	36° 11' 23.3"	110° 16' 17.4"	200	3-10
02	Beno, T	Cottonwood	35° 56' 8.0"	109° 50' 32.2"	200	3-10
03	Eicity, ..	Cottonwood	36° 0' 12.6"	109° 45' 50.8"	200	3-10
04	Yazlie,	Nazlini	36° 2' 15.5"	109° 20' 43.2"	200	3-10
05	Begay, F	Clinle	36° 9' 23.6"	109° 33' 38.8"	200	3-10
06	Tsodie,	Chinle	36° 9' 27.4"	109° 33' 50.9"	200	3-10
07	Shorty,	Chinle	36° 14' 12.3"	109° 35' 58.3"	200	3-10
08	Tso, I	Tsaile	36° 14' 44.9"	109° 22' 35.9"	200	3-10
9	Begay,	Lukachukai	36° 24' 10.2"	109° 12' 36.8"	200	3-10
10	Benally,	Lukachukai	36° 24' 32.8"	109° 14' 43.4"	200	3-10
11	Yazlie, S	Lukachukai	36° 24' 50.0"	109° 17' 4.0"	200	3-10
12	Betony	Lukachukai	36° 27' 34.6"	109° 15' 47.4"	200	3-10

FEATURES

Name	Community	Latitude	Longitude	Radial Survey (ft)	Depth Range (ft)
LAGOON #1	Nazlini	36° 2' 13.5"	109° 20' 39.4"	30	
DRAINFIELD #1	Tsaile	36° 14' 44.9"	109° 22' 33.8"	30	

WATERLINE

Name	Type	Latitude	Longitude	Survey Width (ft)	Depth Range (ft)
Line "F51-A"	BOI	35° 56' 13.2"	109° 50' 30.9"	50	4-10
	PI	35° 56' 13.8"	109° 50' 32.5"		
	PI	35° 56' 12.7"	109° 50' 33.2"		
Line "F51-B"	EOL	35° 56' 9.0"	109° 50' 33.0"		4-10
	BOI	36° 14' 16.8"	109° 35' 59.4"		
Line "F51-C"	EOL	36° 14' 13.4"	109° 35' 58.1"		4-10
	BOI	36° 24' 34.3"	109° 14' 44.1"		
	EOL	36° 24' 33.5"	109° 14' 43.8"		

FOR HIS ENGINEER USE ONLY

Homeowner Name: Perry

SR No.: _____

HITS Home No.: _____

Home Latitude: 36° 09' 23.6"

Distance of nearest Community Water: w/in 200'

Home Longitude: 109° 33' 38.8"

Distance of nearest Community Sewer: w/in 200'

Home Assessment:

- Existing Utilities at Home: () Gas Electric () Telephone or () Other: _____
- Is the house in good structural condition? Yes () No
- Does the house have a solid foundation? Yes () No
- Is the house insulated? Yes () No
- Home recently renovated? () Yes (if No; if Yes, by whom or what program? _____)
- Water Heater Option: Electrical () Propane () Natural Gas
- Is Plumbing complete? () Yes No; Note: Confirm by looking inside of home or mobile home
- Bathroom Addition needed? Yes () No
- Existing Cistern System? () Yes No
- Existing Septic Tank/Drainfield? () Yes No; if Yes, refer to Failed Drainfield Report sheet.

Soil Assessment:

Mobile Homes Section:

- Auger Depth (ft): _____
- Saturated (wet) soil present? () Yes () No
- How deep is the Hardpan or Bedrock (ft)? _____ () Not Present
- Permissible candidate for: () Drainfield () Individual Lagoon () Eject
- Is home/site suitable for a Sewer system? () Yes () No; if No why? _____
- Is this house feasible for HHS Services? Yes () No

- Water and sewer stubbed out to the exterior? () Yes () No
- Wheels removed and the skirting installed? () Yes () No

Additional Notes: No room for ST/DF. Will need to connect to community sewer

[Draw a layout of proposed sanitation facilities:]

Technician's Name: Perry Reed

Date: 1-3-20

FOR HIS ENGINEER/ENGINEER-IN-CHARGE USE ONLY

SDS Project Name and No.: _____

Resident No.: _____

PDS Project Name and No.: _____

Delivered / Mailed SRD Letter? () Yes () No

Reviewed By: _____

Date: _____

SECRET
NO FORN DISSEM
EXCEPT BY AUTHORITY
OF THE SECRETARY OF DEFENSE



CHINLE QUADRANGLE



DEPARTMENT OF HEALTH & HUMAN SERVICES
Navajo Area Indian Health Service

PUBLIC HEALTH SERVICE

Many Farms Field Office
Office of Environmental Health & Engineering
P.O. Box 694
Many Farms, AZ 86538
Phone: (928) 781-3817 Fax: (928) 781-3818

April 23, 2021

Walton Yazzie, Chapter Manager
Chinle Chapter House
PO Box 1809
Chinle, AZ 86503

SUBJECT: Request for Bathroom Additions funding for project NA-18-W43

Dear Mr. Yazzie:

The Indian Health Service will receive funding for the above-mentioned project to serve 50 homes in the Chinle Chapter area. There is a total of 24 homes require plumbing, which the IHS will install. However, 23 of those homes also require a bathroom addition. As the IHS cannot fund nor construct bathroom additions, it has been stipulated in the Project Summary and Memorandum of Agreement that this portion of the project is the responsibility of the individual homeowner and/or Chapter to construct these structures.

Note that the Project Summary also stipulates that:

"If at the start of construction of the systems bathroom additions are not built and ready at the project home, the IHS will then offer the homeowner two options. First, a "short wall" can be installed inside the existing home. Short wall fixtures include a toilet, lavatory, and a single basin kitchen sink with a 42-inch long cabinet and water heater option. If the homeowner objects to the short wall option, a kitchen sink (only) can be placed inside the home to at least provide the house with piped potable water to the family. Both long and short walls will require finish carpentry materials and labor not supplied by IHS. This carpentry work is considered a homeowner responsibility and an in-kind contribution to the project."

Please apply for the necessary funds for this task at your earliest convenience from other entities such as the Navajo Nation CDBG or other funding sources. I have enclosed a list of the names of project participants whose homes require bathroom additions. Please confirm with the homeowners at each site to verify the necessity of bathroom additions. Each bathroom addition, built to the necessary specifications, is estimated to cost approximately \$8,000 per home. Construction on this project is anticipated to begin in the middle of 2022. In order for our office to proceed with the proposed waterline, at least 80% of the bathroom additions need to be completed and plumbed. Please work closely with our office for the plumbing layouts and optimum locations of bathroom additions.

If there are any questions, please don't hesitate to give me a call at (928) 781-3822.

Sincerely,

Malcolm Begay
Field Engineer, Indian Health Service
Many Farms DSFC/OEHE
Phone: 928-781-3822
Email: Malcolm.Begay@ihs.gov

XC: B1.0 Correspondence (General) NA-18-W43

Resident	Community	Addition Needed?	Plumbing Needed?
<u>Begay</u>	Chinle	Yes	Yes
<u>Begay,</u>	Chinle	Yes	Yes
<u>Bia,</u>	Chinle	Yes	Yes
<u>Bia,</u>	Chinle	Yes	Yes
<u>Blake,</u>	Chinle	Yes	Yes
<u>Chee,</u>	Chinle	Yes	Yes
<u>DuBoise,</u>	Chinle	Yes	Yes
<u>Hale,</u>	Chinle	Yes	Yes
<u>Hayou,</u>	Chinle	Yes	Yes
<u>Henry,</u>	Chinle	Yes	Yes
<u>James,</u>	Chinle	Yes	YES
<u>Largo Jr,</u>	Chinle	Yes	Yes
<u>Silversmith,</u>	Chinle	Yes	Yes
<u>Smith,</u>	Chinle	Yes	Yes
<u>Spencer-Jr,</u>	Chinle	Yes	YES
<u>Whitney,</u>	Chinle	Yes	Yes
<u>Whitney,</u>	Chinle	Yes	Yes
<u>Yazzie,</u>	Chinle	Yes	Yes
<u>Yazzie</u>	Chinle	YES	YES
<u>Yazzie</u>	Chinle	Yes	Yes
<u>Yazzie,</u>	Chinle	Yes	Yes
<u>Yazzie,</u>	Chinle	Yes	Yes
<u>Yoe,</u>	Chinle	Yes	Yes

Bathroom Addition Project #	Start Date:	Project Manager:	Homeowner(s):	BR ADD?	Need Waterline?	Location:	Chapter:
	Nov. 2020	Malcolm Begay	Benally	YES	YES	Valley Store	Chinle
			Etsiiv	YES	YES	Valley Store	Chinle
			Yazzie	YES	YES	Valley Store	Chinle
UG1	Sum. 2021	Malcolm Begay	Tsosie	YES	Cistern	Spider Rock	Chinle
			Yazzie	YES	Cistern	Spider Rock	Chinle
Bathroom Addition Project #	Start Date:	Project Manager:	Homeowner(s):	BR-ADD?	Need Waterline?	Location:	Chapter:
LE4	Late 2021	Derrick Harvey	Yazzie	YES	Yes	White House	Chinle
			Cadman Jr.	YES	Waterline	Del Muerto	Chinle
Bathroom Addition Project #	Start Date:	Project Manager:	Homeowner(s):	BR ADD?	Need Waterline?	Location:	Chapter:
V07	Late 2021	Malcolm Begay	Begay	YES	yes	Valley Store	Chinle
			t Taylor, Bia	YES	yes	Valley Store	Chinle
Bathroom Addition Project #	Start Date:	Project Manager:	Homeowner(s):	BR ADD?	Need Waterline?	Location:	Chapter:
LCC	Late 2021	Derrick Harvey	Billy	YES	YES	Spider Rock	Chinle
			Dedman	YES	YES	Spider Rock	Chinle
			a Dedman	YES	YES	Spider Rock	Chinle
			Dedman	YES	YES	Spider Rock	Chinle
			Hanley	YES	YES	Spider Rock	Chinle
			Holtsoi	YES	YES	Spider Rock	Chinle
			Hunter	YES	YES	Spider Rock	Chinle
			n Hunter	YES	YES	Spider Rock	Chinle
			Lynch	YES	YES	Spider Rock	Chinle
			ynch	YES	YES	Spider Rock	Chinle
			. Lynch	YES	YES	Spider Rock	Chinle
			Shirley	YES	YES	Spider Rock	Chinle
			... Shorty	YES	YES	Spider Rock	Chinle
			Thomas	YES	YES	Spider Rock	Chinle
			... Thomas	YES	YES	Spider Rock	Chinle
			Toney	YES	YES	Spider Rock	Chinle
			Tsosie	YES	YES	Spider Rock	Chinle
			a Tsosie	YES	YES	Spider Rock	Chinle

Bathroom Addition Project #	Start Date:	Project Manager:	Homeowner(s):	BR ADD?	Need Waterline?	Location:	Chapter:
107	Fall 2020	Robert Morgan	Hernandez, Yazzie, Sr.	YES YES	YES YES	Del Muerto Valley Store	Chinle Chinle
Bathroom Addition Project # 108	Start Date:	Project Manager: Robert Morgan	Homeowner(s): Yazzie	BR ADD? YES	Need Waterline? YES	Location: Chinle	Chapter: Chinle
Bathroom Addition Project # 109	Start Date:	Project Manager: Derrick Harvey	Homeowner(s): Duboise	BR ADD? YES	Need Waterline? YES	Location: Spider Rock	Chapter: Chinle
Bathroom Addition Project # 110	Start Date:	Project Manager: Aaron Jones	Homeowner(s): a Tah	BR ADD? YES	Need Waterline? YES	Location: White House	Chapter: Chinle
Bathroom Addition Project # 111	Start Date:	Project Manager: Robert Morgan	Homeowner(s): Dohi	BR ADD? YES	Need Waterline? YES	Location: Chinle	Chapter: Chinle
Bathroom Addition Project # 112	Start Date:	Project Manager:	Homeowner(s):	BR ADD? No	Need Waterline? YES	Location: Spider Rock	Chapter: Chinle
				No	YES	Spider Rock	Chinle
				No	YES	Spider Rock	Chinle
				YES	YES	Spider Rock	Chinle
				YES	YES	Spider Rock	Chinle
				No	YES	Spider Rock	Chinle
				No	YES	Spider Rock	Chinle
				No	YES	Spider Rock	Chinle
				YES	YES	Spider Rock	Chinle
				no	YES	Spider Rock	Chinle
				no	YES	Spider Rock	Chinle
				no	YES	Spider Rock	Chinle
				no	YES	Spider Rock	Chinle
				YES	YES	Spider Rock	Chinle
				No	YES	Spider Rock	Chinle
				YES	YES	Spider Rock	Chinle
				YES	YES	Spider Rock	Chinle
				YES	YES	Spider Rock	Chinle
				No	YES	Spider Rock	Chinle

Community_Spinner Stock
 Updated: 5/19/2020

Recommended Facilities

Project Hse #	Homeowner	Chapter	Home #	House Type	First Service	Water	Sewer	SW	Plumbing Required	BR Add. Required	Application Received	1st Site Visit Completed	Entered in HITS	(Y/N)	Reason for N? *See
1	Bernini, Mary	Chrtle	505	E-1	Yes	Yes	Yes	No	Yes	No	Yes	Yes	Yes	Yes	Yes
2	Burginman Valeria	Chrtle	1004	E-1	Yes	Yes	Yes	No	Yes	No	Yes	Yes	Yes	Yes	Yes
3	Gurman Mariona	Chrtle	8041	E-1	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes
4	Hatwood, Queralina	Chrtle	103261	E-1	Yes	Yes	No	No	No	No	Yes	Yes	Yes	Yes	Yes
5	Jac Derrick	Chrtle	49910	E-1	Yes	Yes	Yes	No	Yes	No	Yes	Yes	Yes	Yes	Yes
6	Mez, Tsegel	Chrtle	49907	E-1	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes
7	Price Cornelia	Chrtle	900	E-1	Yes	Yes	Yes	No	Yes	No	Yes	Yes	Yes	Yes	Yes
8	Price, Irene	Chrtle	2595	E-1	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes
9	Tal, Ida Price	Chrtle	49906	E-1	Yes	Yes	No	No	No	No	Yes	Yes	Yes	Yes	Yes
10	Thomas, Louise Agnes	Chrtle	457	E-1	Yes	Yes	Yes	No	Yes	No	Yes	Yes	Yes	Yes	Yes
11	Thomas, Phyllis Mae	Chrtle	4716	E-1	Yes	Yes	Yes	No	Yes	No	Yes	Yes	Yes	Yes	Yes
12	Tsoosie, Hummin	Chrtle	49908	E-1	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes
13	Yazzie Sr. Benjamin	Chrtle	1048	E-1	Yes	Yes	No	No	No	No	Yes	Yes	Yes	Yes	Yes
14	Yazzie, Deval/Mae B	Chrtle	1051	E-1	Yes	Yes	No	No	No	No	Yes	Yes	Yes	Yes	Yes
15	Yazzie Denisc J Tahir/Adrian	Chrtle	49905	E-1	Yes	Yes	No	No	No	No	Yes	Yes	Yes	Yes	Yes
16	Yazzie, Larou D	Chrtle	1086	E-1	Yes	Yes	Yes	No	No	No	Yes	Yes	Yes	Yes	Yes
17	Yazzie, Preston	Chrtle	49942	E-1	Yes	Yes	Yes	No	No	No	Yes	Yes	Yes	Yes	Yes

...

Chapter Renovation

Scope of Work

Chapter Renovation Budget

Installation of new Elevator	\$ 500,000.00
Electrical upgrade	\$ 15,000.00
Sound System installation	\$ 5,000.00
HVAC installation	\$ 75,000.00
Restroom remodel	\$ 150,000.00
Replace and repair flooring	\$ 30,000.00
Grid Ceiling installation	\$ 10,000.00
Lighting Installation in grid ceiling	\$ 10,000.00
Relocate Podium Seating	\$ 5,000.00
Total Budget:	\$ 800,000.00

Well Traffic Study

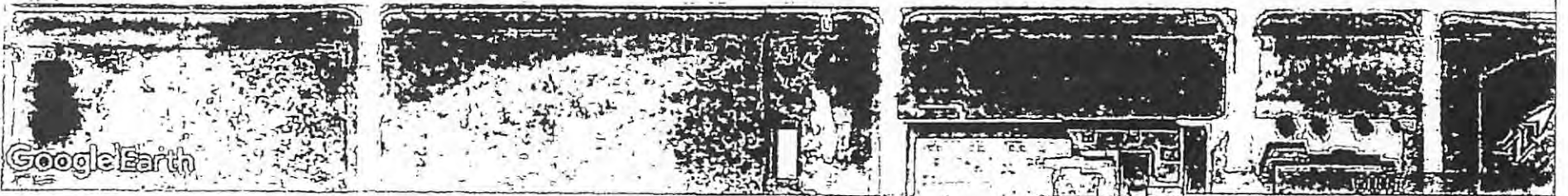
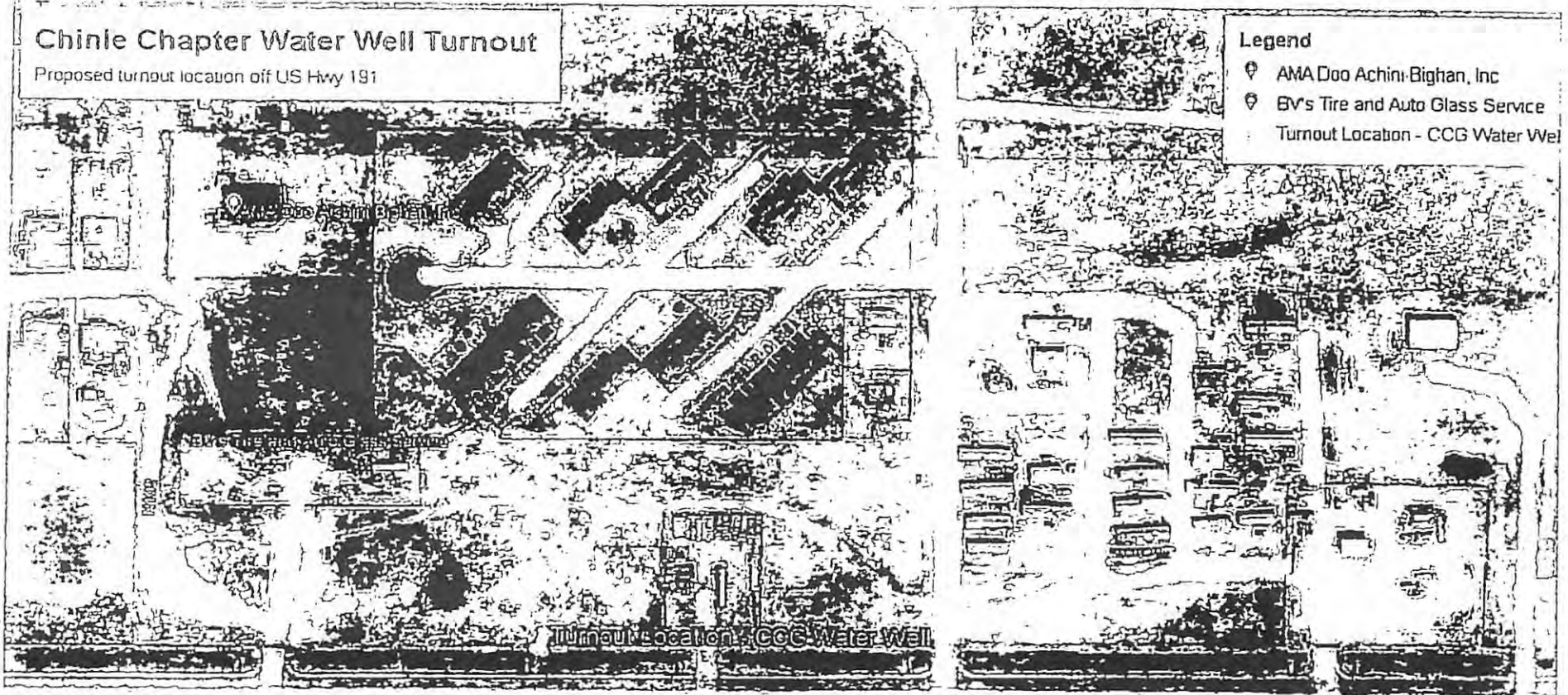
Scope of Work

Chinle Chapter Water Well Turnout

Proposed turnout location off US Hwy 191

Legend

- 📍 AMA Doo Achini-Bighan, Inc
- 📍 BV's Tire and Auto Glass Service
- 📍 Turnout Location - CCG Water Well





ARIZONA DEPARTMENT OF TRANSPORTATION

Infrastructure Delivery and Operations Division

www.azdot.gov

ENCROACHMENT PERMIT APPLICATION

FOR ADOT USE:

ADOT Agreement Number: _____

ECS JPA OTHER

PERMIT NUMBER: _____ ROUTE: _____ MILEPOST: _____

ADOT PROJECT NUMBER: _____ ADOT ENGINEERING STATION: _____

NAME OF ENCROACHMENT OWNER:

CHINLE CHAPTER GOVERNMENT

Mailing Address of Owner:

PO BOX 1809

City:

CHINLE

State:

ARIZONA

Zip:

86503

Phone:

928-674-2052

E-mail address:

CHINLE@NAVAJOCHAPTERS.ORG

Name of Local Point of Contact:

DR. ROSANNA JUMBO-FITCH, CHAPTER PRESIDENT

Phone Number for Local Point of Contact:

928-674-2052

NAME OF AUTHORIZED AGENT/APPLICANT: If other than Encroachment Owner

CHINLE CHAPTER GOVERNMENT

Mailing Address of Authorized Agent:

PO BOX 1809

City:

CHINLE

State:

ARIZONA

Zip:

86503

Phone:

928-674-2052

E-mail Address:

CHINLE@NAVAJOCHAPTERS.ORG

Legal Relationship to Owner:

Contractor Sub Contractor Authorized Employee

Engineer Attorney Other: LGA CHAPTER

TRAFFIC CONTROL COMPANY: TBD

CONTACT NAME AND PHONE NUMBER: DR. ROSANNA JUMBO-FITCH

HIGHWAY/ROUTE: US HWY 191 Approximately: 10 Feet: N S E W of Milepost W or Cross Street: MAP ATTACHED

Side of Highway: (check one) N S E W City (In or near): CHINLE, ARIZONA

Encroachment Owner's Project or Parcel Number: NONE Project Duration: 6 MONTHS

DESCRIPTION OF PROPOSED WORK OR ACTIVITY TO OCCUR IN RIGHT-OF-WAY:

CREATE AN ACCESS ROAD OFF HIGHWAY 191 INTO THE CHINLE CHAPTER, SOUTH MANUELITO WELL SITE, FOR ENTERING/EXITING THE WATER WELL SITE FOR CUSTOMER USAGE. THE ACCESS ROAD WILL CONSIST OF: AN INSTALLATION OF ADOT CURB AND GUTTER, CATTLE GUARD, CONCRETE APRON, FENCING, AND PAVEMENT; PER ADOT SPECIFICATIONS AND STANDARDS, AS WELL AS ANY OTHER MODIFICATIONS NEEDED FOR ACCESS ROAD.

The Encroachment Owner will be the Permittee. By signing this application, the Encroachment Owner and the Owner's Agent acknowledge that the information given and statements made in this application are true and correct to the best of his/her knowledge. THE ENCROACHMENT OWNER MUST ALSO SIGN ON PAGE TWO TO AGREE TO ACCEPT THE GENERAL OBLIGATIONS AND RESPONSIBILITIES AS DESCRIBED ON PAGE TWO OF THIS APPLICATION. By accepting an approved encroachment permit ONCE ISSUED the Permittee agrees to the requirements described in the permit, to be responsible for all permit requirements, and to comply with ADOT's requirements as set out in the permit. An approved permit consists of, but is not limited, to this application and final supporting documentation approved by ADOT, and any requirements set by ADOT. NO WORK SHALL TAKE PLACE INSIDE THE RIGHT OF WAY WITHOUT AN ADOT APPROVED PERMIT ON SITE. *****NOTE: UTILITY APPLICANTS MUST ALSO CERTIFY #19 & #20 ON PAGE TWO AS APPLICABLE.*****

DR. ROSANNA JUMBO-FITCH Rosanna Jumbo-Fitch Digitally signed by Rosanna Jumbo-Fitch Date: 2021.10.13 16:36:26 -0500 10/13/21

Encroachment Owner (Print Name and Sign) Date

DR. ROSANNA JUMBO-FITCH Rosanna Jumbo-Fitch Digitally signed by Rosanna Jumbo-Fitch Date: 2021.10.13 16:36:51 -0500 10/13/21

Authorized Agent or Applicant: If other than the Encroachment Owner (Print Name and Sign) Date

Traffic Control Company Representative (Print Name and Sign) Date

FOR ADOT USE:

PERMIT TO USE STATE HIGHWAY RIGHT-OF-WAY

This application is approved as a permit and a permit is issued to the Permittee. Construction is authorized only for the period indicated below.

Authorized ADOT Name and Signature

Authorized ADOT Name and Signature

PERMIT ISSUED(Date): _____ PERMIT WORK TO BE COMPLETED BY (Date): _____

THE PERMITTEE SHALL:

1. Assume all legal liability and financial responsibility for the encroachment activity for the duration of the encroachment, including indemnify, defend, and save harmless ADOT and the State of Arizona and any of its departments, agencies, boards, commissions, universities, officers, officials, agents and employees from and against any and all claims, demands, suits, actions, proceedings, loss, etc., damages of every kind, or expenses including court costs, reasonable attorney's fees and/or litigation expenses, and costs of claim processing and investigation, arising out of bodily injury or death of any person, or tangible or intangible property damage, caused, or alleged to be caused, in whole or in part, by the negligent or willful acts, or omissions of the Permittee, any of its directors, officers, agents, employees, or volunteers, its contractor or subcontractors. This indemnity includes any claim or amount arising out of, or recovered under the Workers' Compensation Law or arising out of a contractor's failure to conform to any federal, state or local law, statute, ordinance, rule, regulation or court decree. Permittee and Contractor agree to provide ADOT with certificate(s) of Insurance (COI) consistent with the requirements stated in the ADOT Permit Insurance Matrix and to provide the State of Arizona/ADOT with endorsements or evidence to satisfy the Additional Insured, Waiver of Subrogation and Primary/Non-Contributory coverage requirements. The required insurance shall be kept in force by the Permittee and its contractors/subcontractors for the term of the permit and shall not expire, be cancelled or materially changed to affect coverage available to the State without thirty (30) days written notice to the State. Automobile and Worker's Compensation coverage requirements are dependent upon the use of employees and autos for the encroachment activity. Permittee agrees to maintain and make available to ADOT all contractors/subcontractors' certificates upon demand. ADOT reserves the right to require an increase or allow a decrease in insurance limits or coverage based on the risks and financial exposure arising out of the event or activity proposed in the permit application.
2. Comply with Environmental Laws.
 - A. Environmental Laws refer collectively to any and all federal, state, or local statute, law, ordinance, code, rule, regulation, permit, order or decree regulating, relating to, or imposing liability or standards of conduct on a person discharging, releasing or threatening to discharge or release or causing the discharge or release of any hazardous or solid waste or any hazardous substance, pollutant, contaminant, water, wastewater or storm water, and specifically includes, but is not limited to: The Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act; the Comprehensive Environmental Response, Compensation and Liability Act, as amended; the Toxic Substances Control Act; the Clean Water Act (CWA); the Clean Air Act; the Occupational Safety and Health Act; the Arizona Water Quality Act Revolving Fund Act, the Arizona Hazardous Waste Management Act, any applicable National Pollutant Discharge Elimination System (NPDES) or Arizona Pollution Discharge Elimination System (AZPDES) permit, any applicable CWA Section 404 permit, or any local pretreatment or environmental nuisance ordinance.
 - B. The Permittee (and/or their agent) specifically agree that in the course of performing any activity for which this Permit is necessary:
 - i. Shall comply with any and all Environmental Laws;
 - ii. Ensure that no activity under this Permit shall cause ADOT to be in violation of any Environmental Laws;
 - iii. Indemnify ADOT for any losses, damages, expenses, penalties, liabilities or claims of any nature whatsoever suffered by or asserted against ADOT
 - C. If the Permittee fails or refuses to comply with any Environmental Laws, or causes ADOT to be in violation of any Environmental Laws; ADOT may at its sole and unreviewable discretion, (1) revoke this Permit; (2) require the Permittee to undertake corrective or remedial action to address any release or threatened release or discharge of the hazardous substance, pollutant or contaminant, water, wastewater or storm water; and (3) expressly consents to entry of injunctive relief to enforce any listed remedies.
3. Be responsible for any repair or maintenance work and repair any aspect or condition of the encroachment that causes danger or hazard to the traveling public, for the duration of the encroachment and must perform such work under the appropriate encroachment permit authorization.
4. Comply with ADOT's traffic control standards with an ADOT approved traffic control plan.

In any case and at the Department's discretion; ADOT may require written approval from the abutting property owner prior to issuance of the encroachment permit. If the encroachment encroaches on abutting property owned by someone other than the permittee (and/or on underlying fee land owned by someone other than the permittee where ADOT owns its right of way by easement), the Permittee must obtain written approval from the abutting property owner (and/or underlying fee owner where ADOT owns its right of way by easement).
5. ADOT reserves the right to require the permittee to perform any repairs necessary to address damages caused by the encroachment throughout the life of the encroachment.
7. Remove the encroachment and restore repair the portions of the right-of-way that were damaged as a result of the encroachment to substantially the same condition as existed prior to the damage if ADOT cancels the encroachment permit, and terminates all rights under the permit, or if the project terminates for any reason beyond ADOT's control.
8. Reimburse ADOT for costs incurred or deposit with ADOT money necessary to cover all costs incurred for activities related to the encroachment, such as inspections, restoring and/or repairing portions of the right-of-way damaged by the encroachment to substantially the same condition as existed prior to the damage, removing the encroachment, or repair encroachment to originally permitted condition and comply with ADOT's bond policy as applicable.
9. Notify new owner of property or encroachment to apply for an ADOT encroachment permit, as required by Arizona Administrative Rule R17-3-502(D).
10. Apply for a new encroachment permit if the use of the permitted encroachment or the use of adjoining property changes.
11. Keep a copy of the encroachment permit at the work site or site of encroachment activity.
12. Construct the encroachment according to attached Specifications, Standards and the plans approved by ADOT as part of the final permit; any field changes shall be approved by ADOT prior to implementation.
13. Obtain all required permits from other government agencies or political subdivisions.
14. Remove any defective materials, or materials that fail to pass ADOT's final inspection, and replace with materials ADOT specifies.
15. Have the right to a hearing as prescribed in Arizona Administrative Code, R17-3-509 if the permit application is denied.
16. Understand that once issued, the permit is revocable and subject to modification or abrogation by ADOT at any time, without prejudice.
17. In accordance with Arizona Administrative Code, R17-3-508, if ADOT requires the relocation or removal of the encroachment or parts of the encroachment due to project construction or other ADOT related operation, the permittee agrees to remove or relocate the encroachment by the date agreed to in the Utility Clearance Letter. If the encroachment is not removed by the agreed date, fines will be imposed at a minimum rate of \$5,000/day until the encroachment is no longer in ADOT's path of work.
18. Following the installation or relocation of utilities within ADOT Rights-of-Way, utility companies are required to provide x,y,z coordinates utilizing NAD 83 State Plane AZ Central Feet International and in Geo-database file format.
19. Certify that the Permittee has overlash approval on existing poles from the utility company pole owner. Initial Rosanna Jumbo-Fitch Permittee Signature (If applicable)
20. Certify that the Permittee has written approval from the abutting property owners if encroachment impacts abutting property; and or underlying fee owner where ADOT is within an easement. Initial Rosanna Jumbo-Fitch Permittee Signature (If applicable)

Accepting an ADOT approved Encroachment permit, the Permittee agrees to the requirements described in the permit, to be responsible for all permit requirements, and comply with ADOT's requirements as set out in the permit. **NO WORK SHALL TAKE PLACE INSIDE THE RIGHT OF WAY WITHOUT AN ADOT APPROVED PERMIT ON SITE.**

Have read, understand and shall comply with the requirements as stated above:

Name: DR. ROSANNA JUMBO-FITCH Date: 10/13/21

Signature: Rosanna Jumbo-Fitch Digitally signed by Rosanna Jumbo-Fitch Date: 2021.10.13 16:42 44 -05'00'

**Office of Diné Youth
Scope of Work**

MAINTENANCE TECHNICIAN

DEFINITION: Under general supervision, performs journey level skilled repair and maintenance work in any of several trades such as plumbing, carpentry, painting, building maintenance, and appliance repair and maintenance; performs related work as assigned.

ESSENTIAL FUNCTIONS: This list is ILLUSTRATIVE ONLY and is not a comprehensive listing of all functions and tasks performed by incumbents of this class.

TASKS:

Performs general maintenance and carpentry and cabinet-making work; installs cabinets and shelves; frames walls; repairs and replaces doors, windows, casing, garage doors, roof and carpet; installs flooring; performs plumbing activities, installing new plumbing including pipes, drains, tubs, faucets, sinks, and other plumbing fixtures and equipment; makes repairs on old plumbing; repairs breaks; replaces washers and valves; clean and opens drains and water lines; performs painting activities by preparing surface to be painted including sanding, scraping, patching, priming and texturing surfaces, mixes and applies paints to surfaces; mixes and applies plaster.

Performs installation, alteration, maintenance and repair of wiring systems and electrical fixtures and equipment; replace fuses, bulbs and globes; maintains, repairs or replaces residential type appliance such as water coolers, refrigerators, etc.; maintains, repairs or replaces heating ventilation and air conditioning units; checking Freon pressure; removes or recycles refrigerant; inspects fans, condensers, blower motors, heating and cooling units, wiring, etc.; services common household appliances; inspects damage to determine scope of work; estimates materials and supplies needed to complete work; re-keys and masters all locks; cleans and repairs tools and equipment.

Performs on call emergency duties for major outages, sewer backups, etc; provides cross training for co-workers and acquires cross training in other trades areas; installs security alarm systems; winterizes and summarizes heating units and air conditioners; provides preventive maintenance and troubleshooting; locates gas or water leaks; checks units for proper operation; performs preventive maintenance program through scheduled inspection and servicing of equipment, housing and facilities; maintains a clean and safe work environment.

KNOWLEDGE, SKILLS AND OTHER CHARACTERISTICS:

Knowledge of common practices, methods, materials and tools of various journey level building, electrical, and plumbing trades.

Knowledge of National Electric Code, Plumbing Code, Building Code and Plumbing Code.

Knowledge of hazards and safety precautions of various trades.

Knowledge of power and technical tool operation related to appliance repair and maintenance.

Knowledge of installation and programming of security alarm systems.

Knowledge of occupational safety and health regulations and practices.

Skill in troubleshooting and repairing a variety of commercial and residential appliances.

Skill in performing semi-skilled tasks of various trades.

Skill in safely working with potentially hazardous materials, chemicals and supplies.

Skill in prioritizing and handling multiple assignments.

Skill in maintaining and repairing power and hand tools and equipment.

Skill in establishing and maintaining effective working relationships.

Skill in welding.

THE NAVAJO NATION

Class Code: 4077
General Services and Maintenance Series
Maintenance Group
Overtime Code: Non-Exempt
Pay Grade: 60

MAINTENANCE TECHNICIAN

Ability to read and work from blueprints, shop drawings and sketches.
Ability to learn relevant building, fire and safety codes.

PHYSICAL REQUIREMENTS AND WORK ENVIRONMENT: Work requires extended hours working, lifting, carrying and transporting heavy tools, appliances, material and equipment weighing in excess of 100 pounds; requires climbing, kneeling, bending stooping and working in confined spaces.

MINIMUM QUALIFICATIONS:

- A high school diploma/GED; and three (3) years of general building maintenance experience in one or more trades area; or an equivalent combination of education and experience.

Special Requirements:

- Possess a valid state driver's license.

PREFERRED QUALIFICATIONS:

- Journeyman level certification
- Occupational Safety and Health Administration training.
- HVAC training or certification.

Supplemental Requirements:

Incumbent must obtain a Navajo Nation Vehicle Operator's Permit within 90 days of date of hire.

Depending upon the needs of the Nation, some Incumbents of the class may be required to demonstrate fluency in both the Navajo and English languages as a condition of employment.



Rosanna Jumbo <rosanna.jumbo@naataanii.org>

ODY

Al Tsedah <altsedah@yahoo.com>

Thu, Oct 20, 2022 at 1:56 PM

To: Walton Yazzie <wyazzie@nnchapters.org>, Rosanna Jumbo <rosanna.jumbo@naataanii.org>

The personnel positions will complete installation of shower stalls and drainage sink. The scope of work is to complete the project within 6-months.

The showers are to be use by the youth participants during any activity provided by Office of Dine Youth. Today, our youth participants sometimes would execute an accident (meaning: dirty themselves) and need attention to clean themselves quickly through taking a shower. Not all youth participants have access to running water or plumbing at their home, and when they participate in our physical activities, some will need to cleanse themselves before going home. Our promotion is always, self-care through washing up and keep hygienically sanitized.

The drainage sink at the Boys & Girls Club is much needed. Right now, there is not drainage sink for any janitorial related cleaning, most time water is drained outside of the building. With this installation, a lot more and improvement of draining of dirty used water can be drained in doors. The Club will be in compliance with OEH standards as well. Drainage sink is much essential to clean, sanitize, and mop as everyday general cleaning.

The storage is desired to safe keep all our essentials, our recreation equipment & supplies, our personal protective equipment & supplies. We stopped partnering up with other entities on getting cleaning and sanitation supplies to distribute to our youth during Covid19 era, because we have no storage to safeguard the supplies. The storage will help tremendously to keep our cleaning supplies fresh to distribute and to keep our equipment safe.

The PPE will be purchased to continue to distribute to our youth within our areas (agency) to keep them safe from any disease contractions.

Thank you, and hope this helps..

Al Tsedah

{Quoted text hidden}

THE NAVAJO NATION

Class Code: 4077
General Services and Maintenance Series
Maintenance Group
Overtime Code: Non-Exempt
Pay Grade: 60

MAINTENANCE TECHNICIAN

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Performs on call emergency duties for major outages, sewer backups, etc; provides cross training for co-workers and acquires cross training in other trades areas; installs security alarm systems; winterizes and summarizes heating units and air conditioners; provides preventive maintenance and troubleshooting; locates gas or water leaks; checks units for proper operation; performs preventive maintenance program through scheduled inspection and servicing of equipment, housing and facilities; maintains a clean and safe work environment.

KNOWLEDGE, SKILLS AND OTHER CHARACTERISTICS:

Knowledge of common practices, methods, materials and tools of various journey level building, electrical, and plumbing trades.

Knowledge of National Electric Code, Plumbing Code, Building Code and Fire Code.

Knowledge of hazards and safety precautions of various trades.

Knowledge of power and technical tool operation related to appliance repair and maintenance.

Knowledge of installation and programming of security alarm systems.

Knowledge of occupational safety and health regulations and practices.

Skill in troubleshooting and repairing a variety of commercial and residential appliances.

Skill in performing semi-skilled tasks of various trades.

Skill in safely working with potentially hazardous materials, chemicals and supplies.

Skill in prioritizing and handling multiple assignments.

Skill in maintaining and repairing power and hand tools and equipment.

Skill in establishing and maintaining effective working relationships

Skill in welding.

THE NAVAJO NATION

Class Code: 4077
General Services and Maintenance Series
Maintenance Group
Overtime Code: Non-Exempt
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MAINTENANCE TECHNICIAN

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Ability to learn relevant building, fire and safety codes.

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MINIMUM QUALIFICATIONS:

- A high school diploma/GED; and three (3) years of general building maintenance experience in one or more trades area; or an equivalent combination of education and experience.

Special Requirements:

- Possess a valid state driver's license.

PREFERRED QUALIFICATIONS:

- Journeyman level certification
- Occupational Safety and Health Administration training.
- HVAC training or certification.

Supplemental Requirements:

Incumbent must obtain a Navajo Nation Vehicle Operator's Permit within 90 days of date of hire.

Depending upon the needs of the Nation, some incumbents of the class may be required to demonstrate fluency in both the Navajo and English languages as a condition of employment.

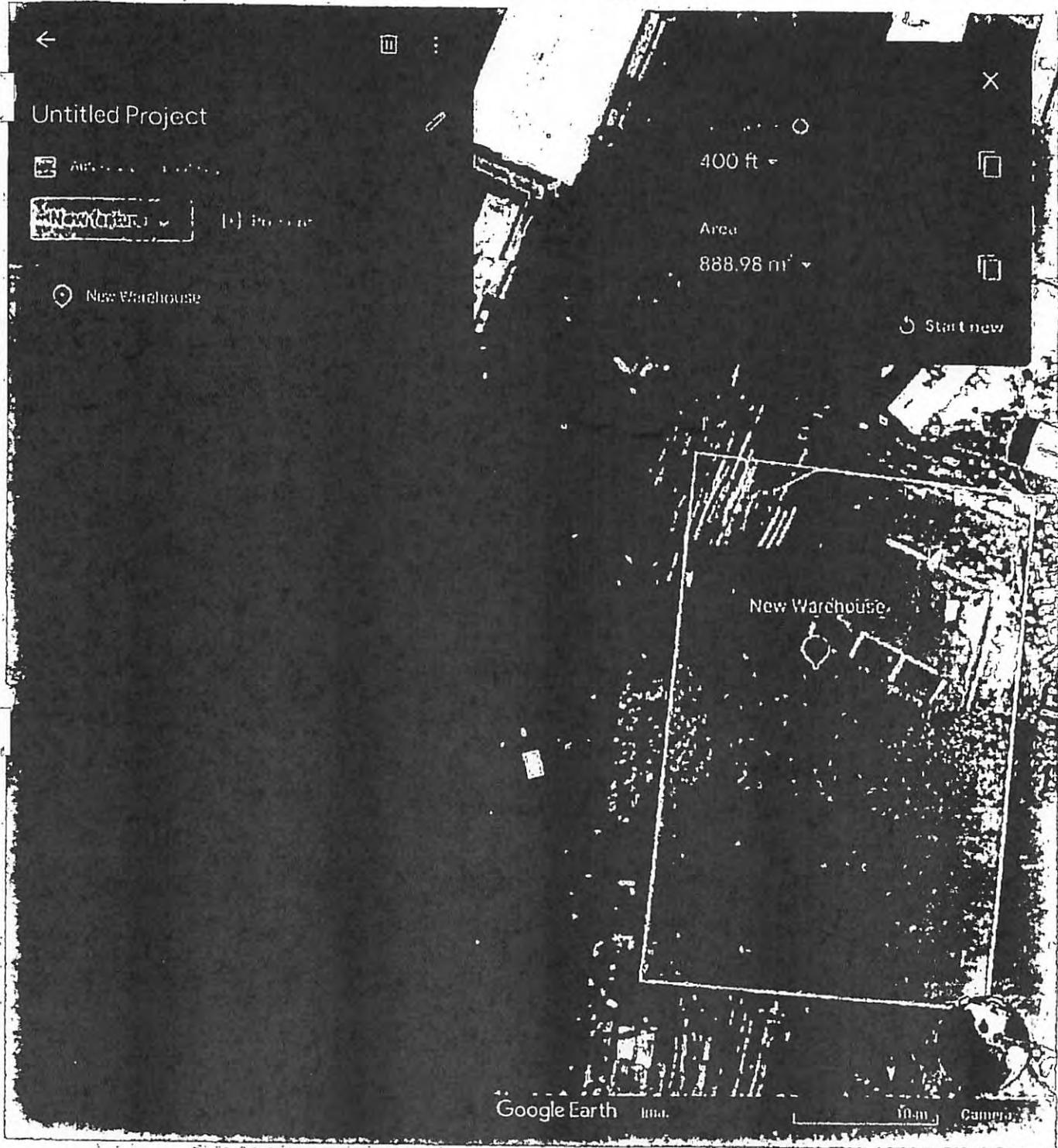
ODY \$ 50,000.00
BUDGET for NEEDS IMPROVEMENT

I.	PERSONNEL	32,853.60
	To hire (2) Maintenance Technicians at entry level pay to do plumbing work. Install janitorial sink and shower stalls. Maintenance Technicians will perform journey level skilled repair and maintenance work in any of several trades such as plumbing, carpentry, painting, building maintenance, and appliances repair and maintenance; will perform related work as assigned.	
	$\$15.63 \times 960 \text{ hours} \times 2 = \$ 30,009.60$	
	$30,009.60 \times 9.48\% = 2,844.00$	
	TOTAL: \$ 32,853.60	
II	IMPROVEMENT PROJECTS: INSTALL SHOWERS & SINK	3,519.40
	Listing of supplies and installation kits are included in the packet.	
III	STORAGE BOX	10,000.00
	Storage is needed to store PPE supplies and other regularly used equipment, such as recreational equipment, tent, canopies, tables, chairs, etc. Safe keeping of these items is necessary and much in need.	
IV	MEDICAL SUPPLIES/PPE	3,627.00
	Will purchase cleaning supplies, sanitizers, disinfect wipes, personal hygienes, facial mask, etc. to keep for office cleaning and to distribute to youth at all ODY events as part of prmoting and encouraging safety and prevention.	
	GRAND TOTAL:	\$50,000.00

Please accept the forthgoing budget of the \$50,000.00 requested from Office of Dine YOUTH as part of ARPA funding distribution to the Chapter. Our request was approved at your Chapter Meeting through a resolution. Thank you.

Submitted by:
Al Tsedah, Program Supervisor III
Chnle ODY/BGC - Chinle Agency
724-74-2066

Warehouse Scope of Work



Warehouse Budget**Costs.**

Building per attached proposal	\$ 525,792.54
Framing and Drywall	\$ 75,000.00
Electrical	\$ 18,000.00
Mechanical	\$ 15,000.00
Paint and Finishes	\$ 8,000.00
Infrastructure upgrade (electrical, plumbing, and mechanical)	\$ 50,000.00
Pavement and Parking Lot	\$ 15,000.00
Security Cameras	\$ 6,000.00
Sidewalks	\$ 5,000.00
Subtotal Estimated Cost	\$ 717,792.54
Contracting Fees (O&P, Taxes, General Requirements)	\$ 358,896.27
Land Survey and EA	\$ 50,000.00
Contingency	\$ 73,311.19
Total Estimated Budget	\$ 1,200,000.00

Sentry Builders, LLC

42802 N. Kenworthy Rd.
PH-480-322-7784

San Tan Valley, AZ 85140
sentry-steel.com

sentry.az@gmail.com

Proposal / Contract

10/13/2022

ROC: 220072

Proposal Submitted to

Colin Tsosie 602-618-6163
Chinle Chapter Chinle AZ 86503

collintsosie@navajochapters.org

Work to be performed at

0 Property
Chinle AZ

DESCRIPTION

Proposal

PRE-ENGINEERED STEEL BUILDING PACKAGE (Includes Delivery, Unloading and Completeness Check):

WALL HEIGHT AT EAVE:	80	x	120						\$	164,060.00
ROOF SLOPE:	20									
ROOF PANELS:	26 ga PBR- PANEL			FINISH:	White					
WALL PANELS:	26 ga PBR- PANEL			COLOR:	TBD					
DOOR, CORNER, WINDOW & WALL TRIM COLOR:	26 ga Formed Trim			COLOR:	TBD					
EAVE CONDITION / ROOF TRIM COLOR:	Standard Eave Trim			COLOR:	TBD					
BASE CONDITION:	26 ga Base flashing			COLOR:	To match wall panels.					

ACCESSORIES

	Size	Quantity	\$	Location			
Clipsy 525V w/R-6.8 Insulation	14 x 18	1	11,498.21	FSW	Includes Install	\$	11,498.21
Clipsy 525V w/R-6.8 Insulation	12 x 18	1	9,652.22	FSW	Includes Install	\$	9,652.22
Liftmaster 'Jackshaft' Automatic Opener w/remote	D11J 501	Each	\$ 1,705.00		Includes Install	\$	1,705.00
Single Walkthrough door - Insulated Steel Door	3' x 7'	1	800.25		Includes Install	\$	800.25
3' wide Translucent Light Panels from top girt to eave	3' x 5'	12	150.00	Upper Side Walls	Includes Install	\$	1,800.00

INSULATION

	Thickness	Facing	Insulation Total
Roof Insulation	4" R-13	VRR Plus	Includes Install
Wall Insulation	3" R-10	VRR Plus	Includes Install

BUILDING PAD LEVELING

Material, equipment and labor to bring building area to level condition For each 4" out of level \$ 17,478.95 TBD

CONCRETE FOR STEEL BUILDING

Concrete materials and labor including 1' x 2' steel reinforced concrete foundation \$ 191,093.62
6" thick concrete slab of 3000 psi concrete with fiber mesh reinforcement over 4" compacted base course.

INCLUDE 2 THICKENED CONCRETE AREAS For 2 - post car lift anchoring. 4'x4' square areas for overall thickness of 8" \$ 300.00 Option
Owner to provide sketch showing centers of thickened areas measured from building edges and center to center spread

INSTALL WASTE PIPING FOR TOILET/SINK within 2' of outside wall \$ 150.00 Option
Piping only w/ 2" vent/dirty arm connection and 3" waste piping to outside of building for future tie in.

PROVIDE & INSTALL "UFFER" GROUND WIRE for future electric Included

ADDITIONAL CONCRETE 4" concrete slab of 3000psi concrete @ \$10.75 psf (500 sq ft minimum) Option

STEEL ERECTION Includes erection of all Pre-engineered Steel Building components \$ 84,129.73

Concrete Foundation Engineering by Arizona Certified Structural Engineer (required by County/City Building Dept) \$ 1,680.00

Local Building Department Requirements Verification and Permit Processing Labor (does not include Permit Fees) By Others

Building Square Footage	9600	Total Construction Costs	\$ 498,381.56
Price per Square Foot	\$ 51.91	(approx.) SALES TAX	\$ 27,410.99
This Quote Expires on 10/20/2022		TOTAL	\$ 525,792.54

All Pricing Subject to Change Pending Review of all Applicable Navajo Nation Rules, Regulations, Wage/Hire Requirements, Etc. by Sentry Builders.

Exclusions

Any and all Building Permits, Dust Control Permits, Permit Fees, Impact Fees, Connection Fees etc.
Special Inspections - If required by your Bldg. Dept.
Soils Testing & Report - If required by your Bldg Dept.
Any and all demolition and Haul-off
Termite Pre-Treatment
Specially embedded items not needed for steel structure
Any and all Electrical, Plumbing and Mechanical work UNO

Terms

Due upon Proposal Acceptance	25%	\$	131,448.14
(this locks in the Price and releases the Steel Package for Production)			
Due upon delivery of Steel Building Package	30%	\$	157,737.76
Due upon delivery of concrete	25%	\$	131,448.14
Due upon erection of structural Components	15%	\$	78,868.88
Due upon completion of our scope of work	5%	\$	26,289.63
Total		\$	525,792.54

Estimated Completion Date

Accepted By

We are pleased to provide the above quote.

Best Regards

Chet Wilkins - Owner - 602-743-4159

Denver Wilkins - Sales - 480-766-8324

Chris Robinson - Leads - 480-694-1913

Signature

Print

Date

Sentry Builders, LLC

42802 N. Kenworthy Rd.

PH-480-322-7784 sentry.az@gmail.com

"There is no Comparison"

10/13/2022

Check out our Gallery & Videos at

Sentry-Steel.com

Project Information

Tsosie

Chinle Chapter

Chinle

AZ 86503

Acknowledgments

Initial

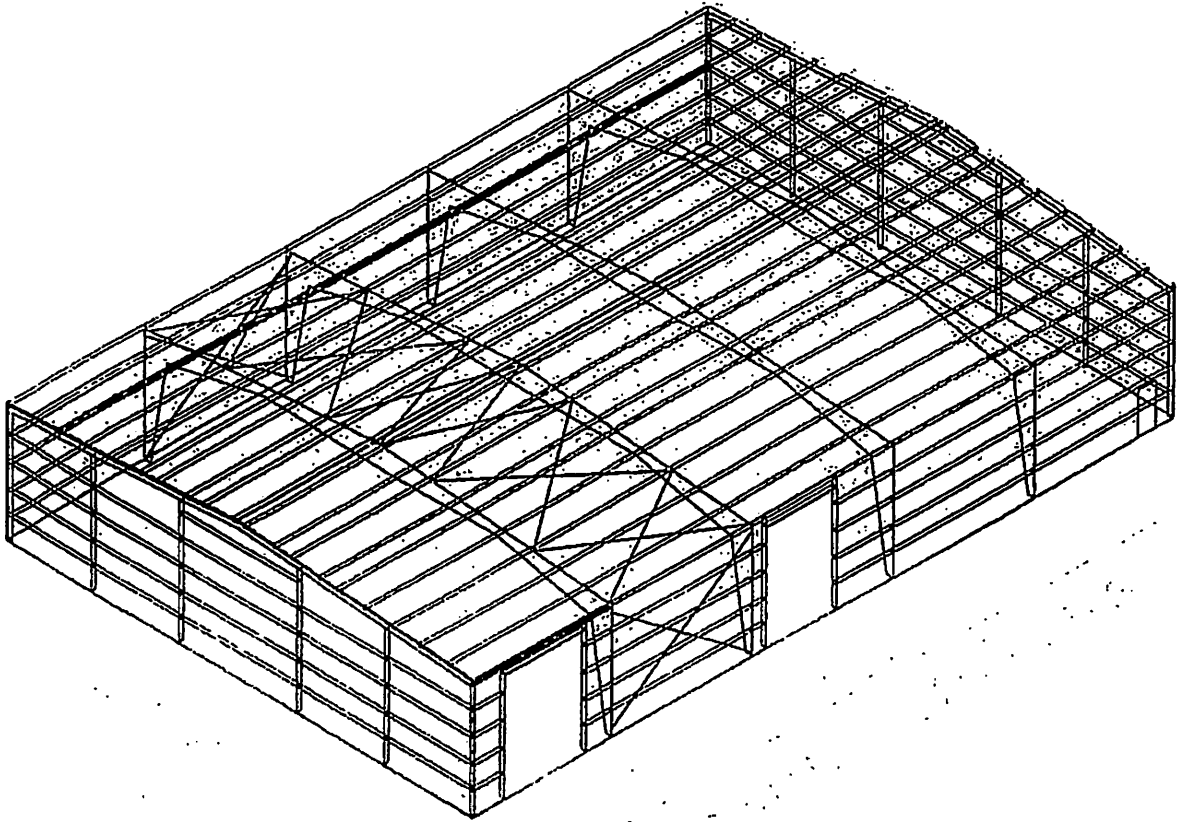
Scope of Work - Only the work described on the "Proposal / Contract" page, or noted on the 3D drawing, is included in this contract. Any change orders or additions made at contract signing will be delivered at the agreed amount written thereon (concrete subject to change as noted below). Any change orders made thereafter must be confirmed in writing and will be priced at current 'Sentry Builders' pricing.

Delivery of Steel Materials - In order to lock in the steel price as shown on the proposal, the steel package must be ordered immediately after contract signing. This means the building will be put into production and shipped once ready (approximately 3-6 months after contract signing). The owner will need to have space on their property to store the building until it is erected. The building will be stored outside, it will have no structural impact or affect the manufacturer warranty for the building.

Electrical Work - Unless noted on the "Proposal / Contract" page or the 3D drawing, **NO Electrical Work** is included in this contract.

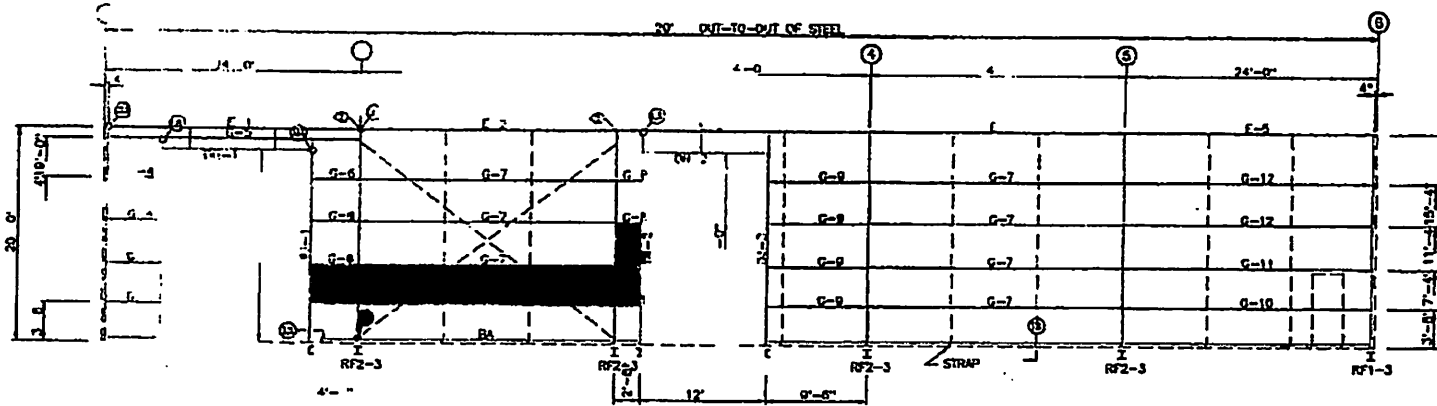
Concrete Pricing - Our line item for "Concrete for Steel Building" & "Additional Concrete" is based on our cost per cubic yard at the date of this proposal. Escalated pricing of up to 10% as of the date we perform the concrete work on this project will be absorbed by Sentry Builders, LLC. Price increases over that 10% will be billed to the customer.

Proposal basis pricing per cubic yard: \$ 185.00

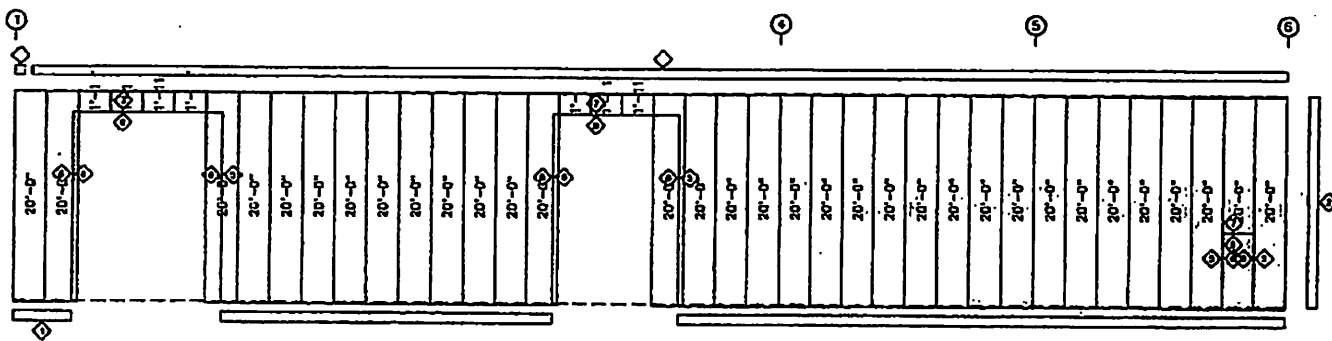


SPECIAL BOLTS
 QTY: 2 COLUMN TYPE: DA LENGTH: WASH
 2 1/2 A325 172" - 13172 0"

ITEM TABLE		DETAIL
QTY	DESCRIPTION	
1	20330	Base
2	20161	Corner
3	20310	Edge
4	21475	Corner Box
5	20382	Jamb Cover
6	20350	Jamb End
7	20382	Hdr. Cover
8	20300	Hdr. Cover
9	20300	Header



SIDEWALL FRAM G FRAME LINE F




SIDEWALL SHEETING & TRIM: FRAME LINE F
 PANELS: 20 Ga. PR - 07H Desert Tan

GENERAL NOTES:

****CAUTION****

UP TO 6FDS ADDITIONAL LINEAR FEET (MEASURED HORIZONTALLY) OF PANELS MAY BE REMOVED FOR FIELD LOCATED FRAMED OPENINGS WITHOUT AFFECTING THE DIAPHRAGM STRENGTH OF THE SIDEWALL PANELS.



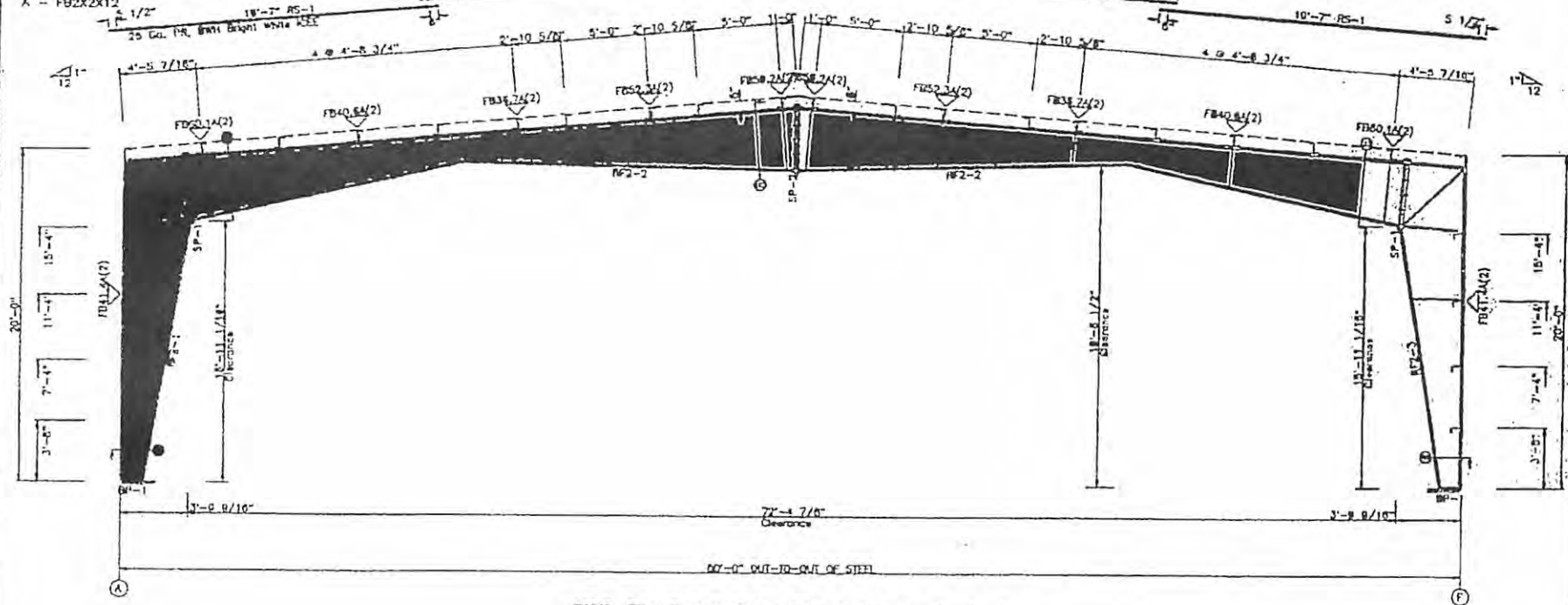
SENTRY BUILDERS LLC
 (480) 322-7784

DESCRIPTION: SIDEWALL FRAMING		P/F1	
SIZE: 20'-0" x 120'-0" x 20'-0"	REV. SUPP. 1.0/12		
DESIGNER: SENTRY BUILDERS			
LOCATION: CHANDLER, AZ 85003			
DATE: 02/07	DATE: 10/13/22	BY: JLM	CHK: JLM
DATE: 02/07	DATE: 10/13/22	BY: JLM	CHK: JLM

SPLICE PLATE & BOLT TABLE										
Mark	Qty	Top	Bot	Int	Type	Dia	Length	Width	Thick	Length
SP-1	4	4	6	A325	0.875	3.00	8"	5/8"	4'-3"	
SP-2	4	4	6	A325	0.750	2.50	8"	1/2"	4'-0 1/2"	


BASE PLATE TABLE			
Col	Plate Size		
Mark	Width	Thick	Length
BP-1	8"	1/2"	1'-2"

FLANGE BRACES: FBxx (1 or 2)
 xx=length(in)
 (1) One Side; (2) Two Sides
 A - FB2X2X12



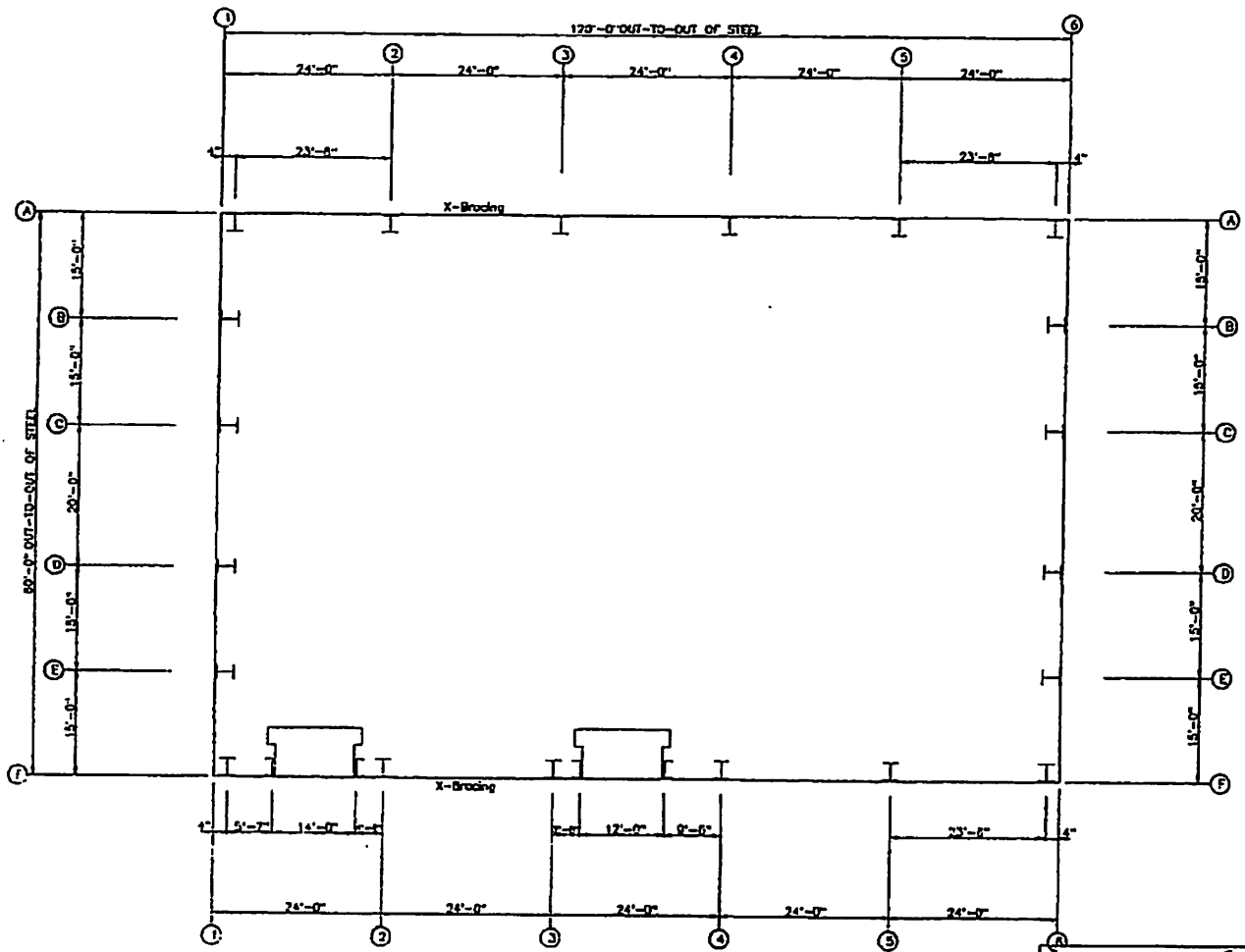
RIGID FRAME ELEVATION: FRAME LINE 2 3 4 5

**** THIS ENDWALL FRAME IS NOT EXPANDABLE ****
 (Will be verified during renumbering)




SENTRY BUILDERS LLC
 (480) 322-7784

REVISION: RIGID FRAME ELEVATION		#178
DATE: 07-20-11 12:00 PM	BY: JLM	REV: 300 12-12
COMPANY: Sentry Builders		
LOCATION: CHINA, AZ 84503		
APP. BY: [Signature]	DATE: 10/13/23	SCALE: NONE
DESIGNED BY: James Lopez	APP. NO: 00000000	REV. NO: 00000000



FLOOR PLAN

Preliminary
Not for Construction



SENTRY BUILDERS LLC
(480) 322-7784

DESCRIPTION		FLOOR PLAN		DATE	
SCALE		80'-0" x 120'-0" x 20'-0"		NOV 12 2012	
CUSTOMER		Sentry Builders			
LOCATION		Chino, AZ : 00503			
DRW BY	CHK BY	DATE	SCALE	SAUNDRY	JOB NO.
Dubler		10/13/22	NONE	James Lopez	NA3708
					0000000
					6 ft

Wellness Center
Scope of Work

Sentry Builders, LLC

42802 N. Kenworthy Rd.
PH-480-322-7784

San Tan Valley, AZ 85140

sentry-steel.com

sentry.az@gmail.com

Proposal / Contract

10/13/2022

ROC 220072

Proposal Submitted to

Colin Tsosie 602-618-6163
Chinle Chapter Chinle AZ 86503

Work to be performed at

0 Property
Chinle AZ

colintsosie@navajochapters.org

DESCRIPTION

Proposal

PRE-ENGINEERED STEEL BUILDING PACKAGE (Includes Delivery, Unloading and Completeness Check):

	50	x	100			\$	85,590.00
WALL HEIGHT AT EAVE:	12						
ROOF SLOPE:	1	x	12"				
ROOF PANELS:	26 ga PBR- PANEL			FINISH:	White		
WALL PANELS:	26 ga PBR- PANEL			COLOR:	TBD		
DOOR, CORNER, WINDOW & WALL TRIM COLOR:	26 ga Formed Trim			COLOR:	TBD		
EAVE CONDITION / ROOF TRIM COLOR:	Standard Eave Trim			COLOR:	TBD		
BASE CONDITION:	26 ga Dase flashing			COLOR:	To match wall panels.		

ACCESSORIES

	Size	Quantity	\$	Location			
Clopay 3720 w/R-18.4 Insulation	12 x 10	1	7,324.45	FSW	Includes Install	\$	7,324.45
Liftmaster 'Jackshaft' Automulte Opener w/remote	#8900	Each	\$ 975.00		Includes Install	\$	975.00
Single Walkthrough door - Insulated Steel Door	3' x 7'	2	800.25		Includes Install	\$	1,600.50
(Includes weatherstrip, threshold, sweep, and commercial grade lockset & deadbolt)							

INSULATION

	Thickness	Facing	Insulation Total	\$	
Roof Insulation	12" R-38	VRR Plus			36,145.21
Wall Insulation	6" R-19	VRR Plus			

BUILDING PAD LEVELING

Material, equipment and labor to bring building area to level condition For each 4" out of level \$ 9,236.84 TBD

CONCRETE FOR STEEL BUILDING

Concrete materials and labor including 1' x 3' steel reinforced concrete foundation \$ 88,000.23
4" thick concrete slab of 3000 psi concrete with fiber mesh reinforcement over 4" compacted base course.

INSTALL WASTE PIPING FOR TOILET/SINK within 2' of outside wall Piping only w/ 2" vent/dirty arm connection and 3" waste piping to outside of building for future tie in. \$ 150.00 Option

PROVIDE & INSTALL "UPPER" GROUND WIRE for future electric Included

ADDITIONAL CONCRETE

4" concrete slab of 3000psi concrete @ \$10.75 psf (\$80 sq ft minimum) Option

STEEL ERECTION

Includes erection of all Pre-engineered Steel Building components \$ 40,991.04

Concrete Foundation Engineering by Arizona Certified Structural Engineer (required by County/City Building Dept) \$ 1,680.00

Local Building Department Requirements Verification and Permit Processing Labor By Others

Building Square Footage 5000
Price per Square Foot \$ 52.27

Total Construction Costs \$ 261,331.42
(approx.) SALES TAX \$ 14,373.23
TOTAL \$ 275,704.64

This Quote Expires on 10/20/2022

All Pricing Subject to Change Pending Review of all Applicable Navajo Nation Rules, Regulations, Wage/Hire Requirements, Etc. by Sentry Builders.

Exclusions

Any and all Building Permits, Dust Control Permits, Permit Fees, Impact Fees, Connection Fees etc.
Special Inspections - If required by your Bldg. Dept.
Soils Testing & Report - If required by your Bldg. Dept.
Any and all demolition and Haul-off
Termite Pre-Treatment
Specially embedded items not needed for steel structure
Any and all Electrical, Plumbing and Mechanical work UNO

Terms

Due upon Proposal Acceptance	25%	\$	68,926.16
(this locks in the Price and releases the Steel Package for Production)			
Due upon delivery of Steel Building Package	30%	\$	82,711.39
Due upon delivery of concrete	25%	\$	68,926.16
Due upon erection of structural Components	15%	\$	41,355.70
Due upon completion of our scope of work	5%	\$	13,785.23
		Total \$	275,704.64

Estimated Completion Date

Accepted By

We are pleased to provide the above quote.

Best Regards

Chet Wilkins - Owner - 602-743-4159

Denver Wilkins - Sales - 480-766-8324

Chris Robinson - Leads - 480-694-1913

Signature

Print

Date

Sentry Builders, LLC

42802 N. Kenworthy Rd.
PH-480-322-7784 sentry.az@gmail.com

"There is no Comparison"

10/13/2022

Check out our Gallery & Videos at Sentry-Steel.com

Project Information

Tsosie Chinle Chapter Chinle AZ 86503

Acknowledgments

Initial

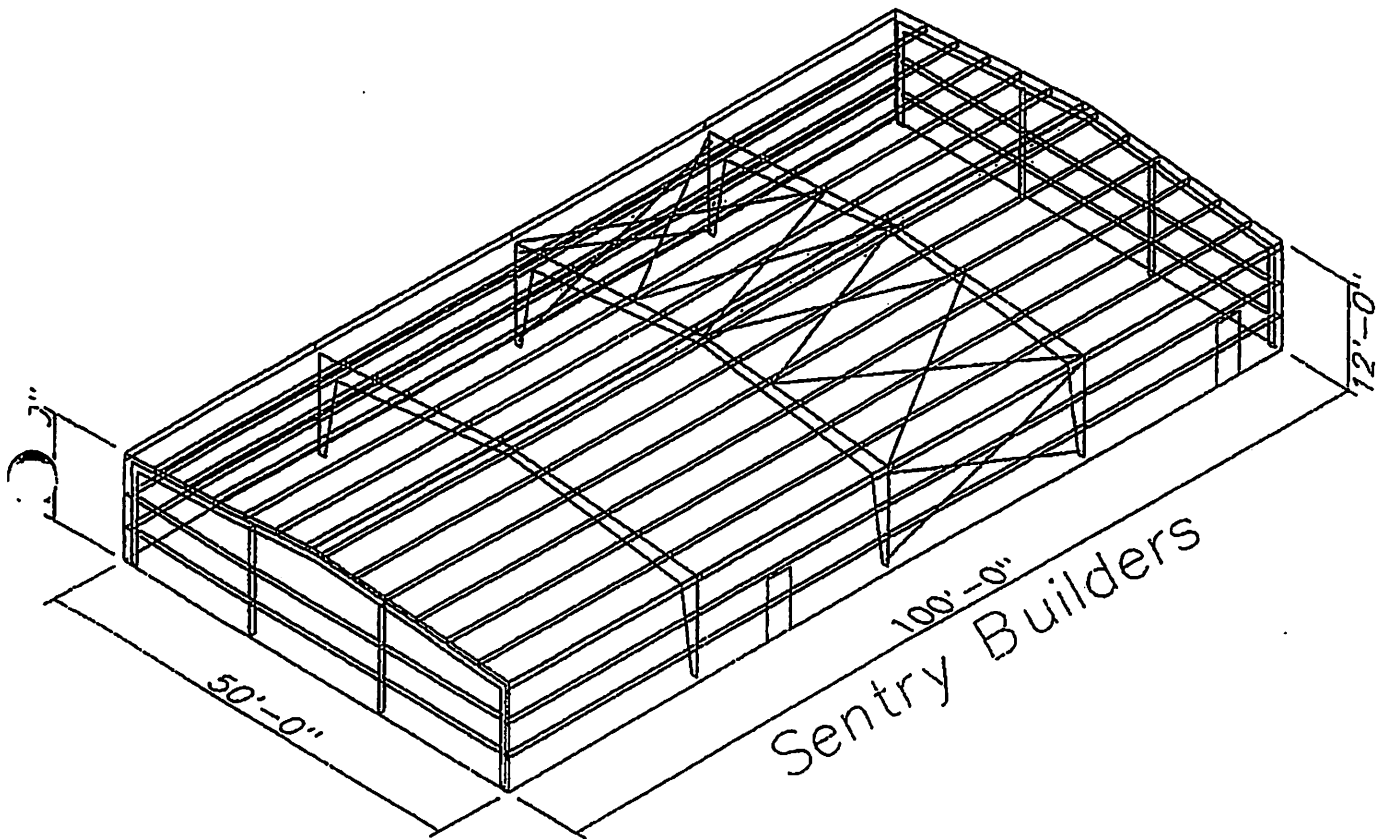
Scope of Work - Only the work described on the "Proposal / Contract" page, or noted on the 3D drawing, is included in this contract. Any change orders or additions made at contract signing will be delivered at the agreed amount written thereon (concrete subject to change as noted below). Any change orders made thereafter must be confirmed in writing and will be priced at current 'Sentry Builders' pricing.

Delivery of Steel Materials - In order to lock in the steel price as shown on the proposal, the steel package must be ordered immediately after contract signing. This means the building will be put into production and shipped once ready (approximately 3-6 months after contract signing). The owner will need to have space on their property to store the building until it is erected. The building will be stored outside, it will have no structural impact or affect the manufacturer warranty for the building.

Electrical Work - Unless noted on the "Proposal / Contract" page or the 3D drawing, **NO Electrical Work** is included in this contract.

Concrete Pricing - Our line item for "Concrete for Steel Building" & "Additional Concrete" is based on our cost per cubic yard at the date of this proposal. Escalated pricing of up to 10% as of the date we perform the concrete work on this project will be absorbed by Sentry Builders, LLC. Price increases over that 10% will be billed to the customer.

Proposal basis pricing per cubic yard: \$ 185.00

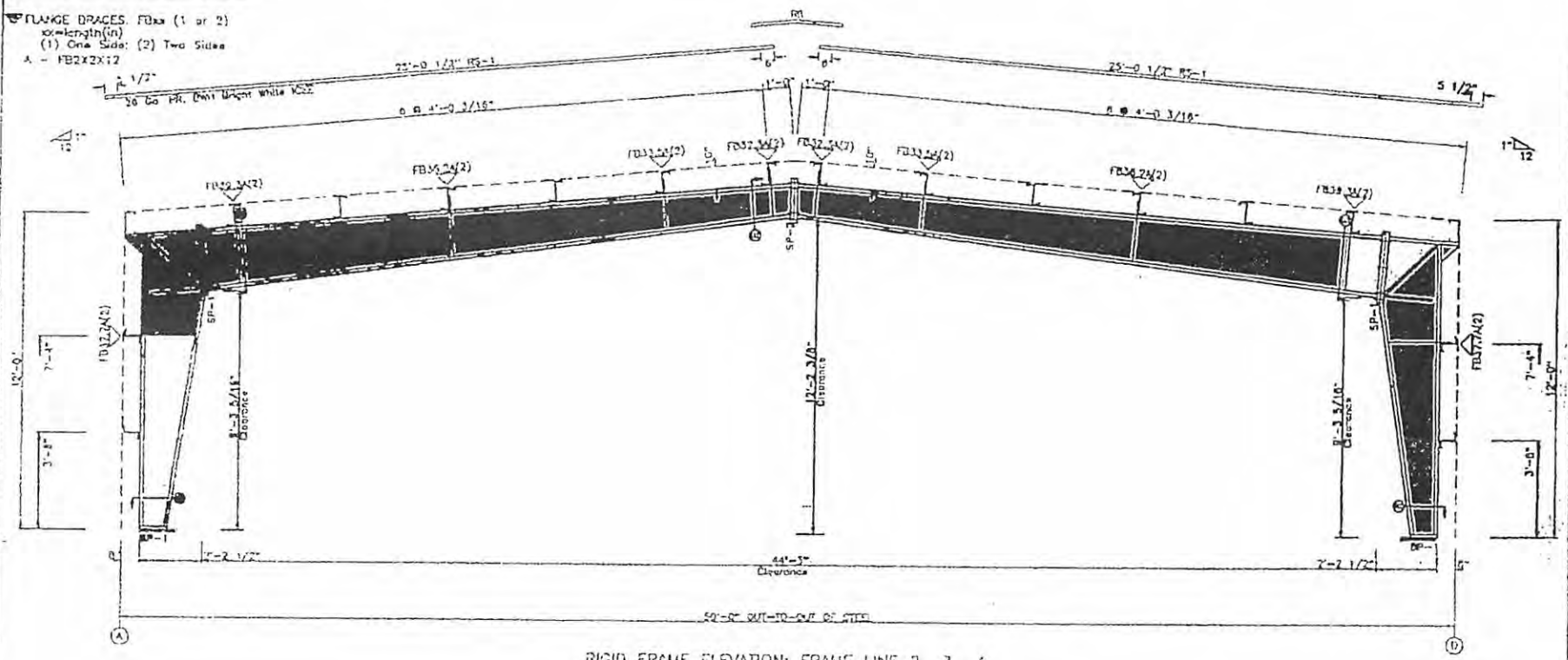


Unless noted, drawings are for conceptual purposes only.
Please review for building dimensions and framed openings accuracy.
All other aspects such as wall girt and roof purlin spacing, wind
bracing locations, etc. may change during engineers design unless
noted in the "Special Requirements" section of the contract.

SPURCE PLATE & BOLT TABLE							
Mark	Qty	Size	Int	Type	Dia	Length	Width Thic: Length
	1	1/2"				10'-0"	1/2" x 10'-0"
	1	1/2"				10'-0"	1/2" x 10'-0"

Col	Mark

FLANGE BRACES, FB#s (1 or 2)
 or-length(in)
 (1) One Side; (2) Two Sides
 A - FB2X12

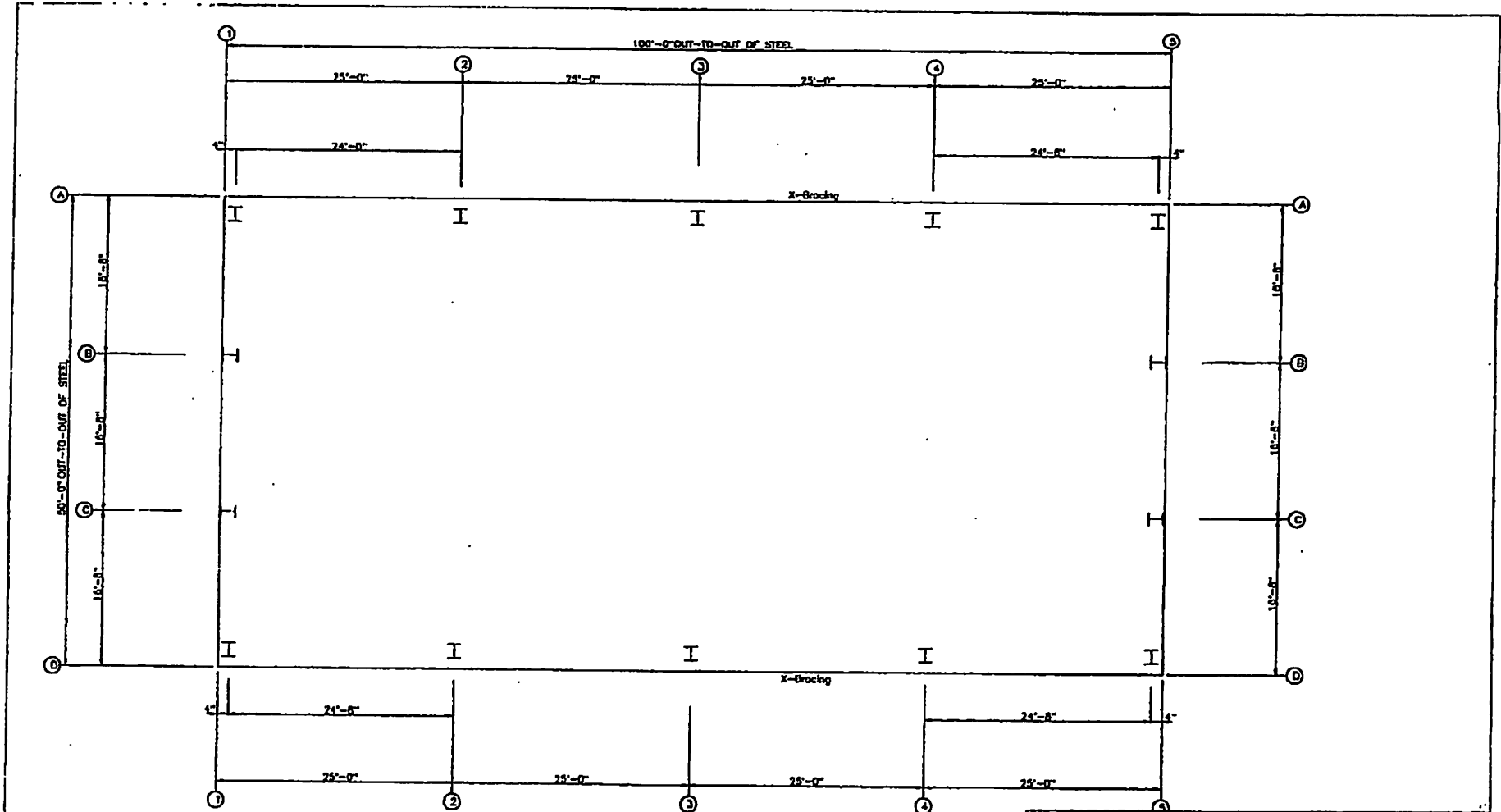


RIGID FRAME ELEVATION: FRAME LINE 2 3 4

** THIS ENDWALL FRAME IS NOT EXPANDABLE **
 (Will be verified during renumbering)

SENTRY BUILDERS LLC
 (480) 322-7784

DESCRIPTION: RIGID FRAME ELEVATION							#F9*
SIZE: 50'-0" x 100'-0" x 12'-0"							ROOF RISE: 1:12
CLIENT: Sentry Builders							
LOCATION: CHINA, AZ: 88503							
DRW BY	CRD BY	DATE	SCALE	DESIGN	JOB NO.	SHEET NO.	REV.
Detailer		10/13/21	NONE	James Lopez	Sentry Builders	0000000000	OR



FLOOR PLAN

Preliminary
Not for Construction

SENTRY BUILDERS LLC
(480) 322-7784

SENTRY
CONSTRUCTION

DESCRIPTION	FLOOR PLAN	DATE	10/11/22
SCALE	1/4" = 1'-0"	PROJECT NO.	10090000
CUSTOMER	Sentry/Dulles	ISSUED BY	Jesse Lopez
LOCATION	Châteaufort, VA	DATE	10/11/22
DRW. BY	Detailer	SCALE	NONE
CHKD. BY		DATE	10/11/22
APP. BY		SCALE	NONE
DATE		SCALE	NONE

Appendix B
Chinle Chapter Bathroom
Additions Project

FY 2023

THE NAVAJO NATION
PROGRAM BUDGET SUMMARY

PART I. Business Unit No.: New Program Title: Bathroom Addition Division/Branch: DCD / Executive Branch
 Prepared By: Walton Yazzie Phone No.: 928.674.2082 Email Address: wyazzie@nncarters.org

PART II. FUNDING SOURCE(S)	Fiscal Year /Term	Amount	% of Total	PART III. BUDGET SUMMARY		
				Fund Type Code	(A) NNC Approved Original Budget	(B) Proposed Budget
ANN Fiscal Recovery Funds	FY23-FY25	1,725,000.00	100%			
				2001 Personnel Expenses		
				3000 Travel Expenses		
				3500 Meeting Expenses		
				4000 Supplies		
				5000 Lease and Rental		
				5500 Communications and Utilities		
				6000 Repairs and Maintenance		
				6500 Contractual Services		
				7000 Special Transactions		
				8000 Public Assistance	6	
				9000 Capital Outlay		1,725,000
				9500 Matching Funds		
				9500 Indirect Cost		
				TOTAL	\$0.00	1,725,000.00
						1,725,000
				PART IV. POSITIONS AND VEHICLES		
				Total # of Positions Budgeted:	(D) 0	(E) 0
				Total # of Vehicles Budgeted:	0	0
				TOTAL:	\$1,725,000.00	100%

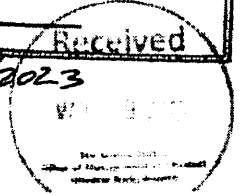
PART V. I HEREBY ACKNOWLEDGE THAT THE INFORMATION CONTAINED IN THIS BUDGET PACKAGE IS COMPLETE AND ACCURATE.

SUBMITTED BY: Walton Yazzie
 Program Manager's Printed Name
Walton Yazzie 10-24-22
 Program Manager's Signature and Date

APPROVED BY: Lisa Jymn
 Division Director / Branch Chief's Printed Name
Lisa Jymn, NNCARTS
 Division Director / Branch Chief's Signature and Date

Handwritten: 1-17 2/9/23

Handwritten: 2/9/2023



FY 2023

THE NAVAJO NATION
PROGRAM PERFORMANCE CRITERIA

PART I. PROGRAM INFORMATION:

Business Unit No.: NAW

Program Name/Title:

Bathroom Addition

PART II. PLAN OF OPERATION/RESOLUTION NUMBER/PURPOSE OF PROGRAM:

PART III. PROGRAM PERFORMANCE CRITERIA:

1. Goal Statement:

Complete Bathroom addition on approved waterline projects

Program Performance Measure/Objective:

To build 50 bathroom addition

1st QTR		2nd QTR		3rd QTR		4th QTR	
Goal	Actual	Goal	Actual	Goal	Actual	Goal	Actual

2. Goal Statement:

Program Performance Measure/Objective:

12		12		13		13	
----	--	----	--	----	--	----	--

3. Goal Statement:

Program Performance Measure/Objective:

--	--	--	--	--	--	--	--

4. Goal Statement:

Program Performance Measure/Objective:

--	--	--	--	--	--	--	--

5. Goal Statement:

Program Performance Measure/Objective:

--	--	--	--	--	--	--	--

PART IV. I HEREBY ACKNOWLEDGE THAT THE ABOVE INFORMATION HAS BEEN THOROUGHLY REVIEWED.

Walton Yazzie

Program Manager's Printed Name

Walton Yazzie 10.24.22
Program Manager's Signature and Date

Lisa Symm

Division Director/Branch Chief's Printed Name

Lisa Symm, MFRD
Division Director/Branch Chief's Signature and Date

J.R. [Signature]

2/9/2023

FY 2023

THE NAVAJO NATION
DETAILED BUDGET AND JUSTIFICATION

Page 3 of 5
BUDGET FORM 4

PART I. PROGRAM INFORMATION:			
Program Name/Title: <u>Bathroom Addition</u>		Business Unit No.: <u>New</u>	
PART II. DETAILED BUDGET:			
(A)	(B)	(C)	(D)
Object Code (LOD 6)	Object Code Description and Justification (LOD 7)	Total by DETAILED Object Code (LOD 6)	Total by MAJOR Object Code (LOD 4)
8000 Assistance (LOD 4)	Bathroom Additions - Materials only.	1,725,000	1,725,000
8500 Infrastructure (non cap)			
8535 Bathroom Additions			
TOTAL		1,725,000	1,725,000

* 1/17 s/5/25

Chinle Chapter Government

THE NAVAJO NATION

Dr. Rosanna Jumbo-Fitch
PRESIDENT

Shawna Claw
VICE PRESIDENT

RoAnn Burbank
SECRETARY/TREASURER

Eugene Tso
COUNCIL DELEGATE

Oscar Bia
GRAZING COMMITTEE MEMBER

RESOLUTION OF THE CHINLE CHAPTER NAVAJO NATION CHIN-OCT-22-072

APPROVING THE SELECTION OF THE BATHROOM ADDITIONS PROJECT FOR THE INCLUSION ON THE CHINLE CHAPTER DELEGATE REGION IN THE AMOUNT OF \$1,725,000.00.

WHEREAS:


- Pursuant to Navajo Nation Code, Section 4001 (d) and 4028 (2), (b) the Chinle Chapter is established and certified as a local government entity of the Navajo Nation vested with the authority to review all matters affecting the chapter and submit appropriate recommendations to the Navajo Nation government of other local agencies by resolutions; and
- To support the efforts of the Navajo Nation to mitigate the effects of the COVID-19 Pandemic, the American Rescue Plan Act (ARPA) Fiscal Recovery Funds were allocated to develop the basic infrastructure to improve lives of people who have lived without water, electricity and "basic services to support their daily activities, health, and welfare"; and
- The Navajo Nation Council approved CJN-29-22, in response to the COVID-19 Pandemic in the best interest of the people: "An Action Relating to the Naabik 'iyati' Committee and Navajo Nation Council; Allocating \$1,070,298,867 of Navajo Nation Fiscal Recovery Funds; Approving the Navajo Nation Fiscal Recovery Fund Expenditure Plans for: Chapter Assistance; Public Safety Emergency Communications, E911, and Rural Addressing Projects; Cyber Security; Public Health Projects; Economic Development Projects; Hardship Assistance; Water and Wastewater Projects; Broadband Projects; Home Electricity Connection and Electricity Capacity Projects; Housing Projects and Manufactured Housing Facilities; Bathroom Addition Projects; Construction Contingency Funding; and Reduced Administrative Funding"; and
- The Chinle Chapter Government has attended several meetings with Navajo Nation Division of Community Development, Navajo Tribal Utility Authority, and the Fiscal Recovery Fund Office; and
- The eligible attached Exhibit: Chinle Chapter Bathroom Additions was selected as a Project to be included on the Navajo Nation Council Delegate Eugene Tso Chapter Region in the amount of \$1,725,000.00 for the Chinle Chapter; and
- The total amount for Chinle Chapter Delegate Region is \$ 8,802,340.00.

NOW, THEREFORE BE IT RESOLVED THAT:


- The Chinle Chapter Government hereby approves the selection of Chinle Chapter Bathroom Additions as a selected Project to be included on the Navajo Nation Council Delegate Eugene Tso Chapter Region in the amount of \$1,725,000.00.

CERTIFICATION

We hereby certify that the foregoing chapter resolution was duly considered by the Chinle Chapter at a duly called meeting at which time a quorum was present. A motion was made by Myron McLaughlin and seconded by Pamela Bia and the same was passed by a vote of 9 in favor, 0 opposed, and 1 abstained, this 7th day of October, 2022.



Rosanna Jumbo-Fitch, President



Shawna Claw, Vice President



RoAnn Burbank, Secretary/Treasurer

Appendix B
Chinle Chapter House
Renovation Project

FY 2023

THE NAVAJO NATION
PROGRAM BUDGET SUMMARY

Page 1 of 4
BUDGET FORM 1

PART I. Business Unit No.: New Program Title: Chinle Chapter Renovation Division/Branch: DCD / Executive Branch
 Prepared By: Walton Yazzie Phone No.: 928.674.2052 Email Address: wyazzie@nnchapters.org

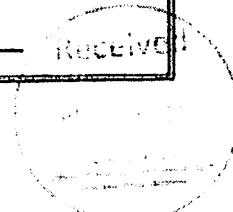
PART II. FUNDING SOURCE(S)	Fiscal Year /Term	Amount	% of Total	PART III. BUDGET SUMMARY	Fund Type Code	(A) NNC Approved Original Budget	(B) Proposed Budget	(C) Difference or Total
NN Fiscal Recovery Funds	FY 23-FY25	80,000.00	100%	2001 Personnel Expenses				
				3000 Travel Expenses				
				3500 Meeting Expenses				
				4000 Supplies				
				5000 Lease and Rental				
				5500 Communications and Utilities				
				6000 Repairs and Maintenance				
				6500 Contractual Services	6		800,000	800,000
				7000 Special Transactions				
				8000 Public Assistance				
				9000 Capital Outlay				
				9500 Matching Funds				
				9500 Indirect Cost				
				TOTAL		\$0.00	800,000.00	800,000
TOTAL: \$80,000.00 100%				PART IV. POSITIONS AND VEHICLES		(D)	(E)	
				Total # of Positions Budgeted:		0	0	
				Total # of Vehicles Budgeted:		0	0	

PART V. I HEREBY ACKNOWLEDGE THAT THE INFORMATION CONTAINED IN THIS BUDGET PACKAGE IS COMPLETE AND ACCURATE.

SUBMITTED BY: Walton Yazzie APPROVED BY: Lisa Jymm
 Program Manager's Printed Name Division Director / Branch Chief's Printed Name
10-24-22 Lisa Jymm, NNFRFO
 Program Manager's Signature and Date Division Director / Branch Chief's Signature and Date

Handwritten signature and date

Handwritten signature and date 2/9/2023



THE NAVAJO NATION
PROGRAM PERFORMANCE CRITERIA

PART I. PROGRAM INFORMATION:											
Business Unit No.:	New	Program Name/Title:	Chinle Chapter Renovation								
PART II. PLAN OF OPERATION/RESOLUTION NUMBER/PURPOSE OF PROGRAM:											
PART III. PROGRAM PERFORMANCE CRITERIA:											
				1st QTR		2nd QTR		3rd QTR		4th QTR	
				Goal	Actual	Goal	Actual	Goal	Actual	Goal	Actual
1. Goal Statement: Chapter House a Safer place											
Program Performance Measure/Objective: Hire a Subcontracted.								1			
2. Goal Statement:											
Program Performance Measure/Objective:											
3. Goal Statement:											
Program Performance Measure/Objective:											
4. Goal Statement:											
Program Performance Measure/Objective:											
5. Goal Statement:											
Program Performance Measure/Objective:											
PART IV. I HEREBY ACKNOWLEDGE THAT THE ABOVE INFORMATION HAS BEEN THOROUGHLY REVIEWED.											
Walton Yazze Program Manager's Printed Name:				Lisa Jymm Division Director/Branch Chief's Printed Name							
 Program Manager's Signature and Date				 Division Director/Branch Chief's Signature and Date							

Walton Yazze

Lisa Jymm 2/9/2023

FY 2023

THE NAVAJO NATION
DETAILED BUDGET AND JUSTIFICATION

Page 3 of 4
BUDGET FORM 4

PART I. PROGRAM INFORMATION:			
Program Name/Title: <u>Chinle Chapter Renovation</u>		Business Unit No.: <u>New</u>	
PART II. DETAILED BUDGET:			
(A)	(B)	(C)	(D)
Object Code (LOD 6)	Object Code Description and Justification (LOD 7)	Total by DETAILED Object Code (LOD 6)	Total by MAJOR Object Code (LOD 4)
6500 6560 6590	Contracted Services Subcontracted Services Subcontracted Services <i>Contractor to do the work for Chinle Chapter House Renovations.</i>	800,000	800,000
TOTAL		800,000	800,000

1-11/23

Appendix B

Chinle Chapter South

Manuelito Well Traffic Study

FY 2023

THE NAVAJO NATION
PROGRAM BUDGET SUMMARY

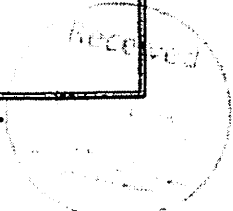
PART I. Business Unit No.: New Program Title: Chinle South Manuefite Well Division/Branch: DCD / Executive Branch
 Prepared By: Walton Yazzie Phone No.: 928.674.2052 Email Address: wyazzie@nnchapters.org

PART II. FUNDING SOURCE(S)	Fiscal Year / Term	Amount	% of Total	PART III. BUDGET SUMMARY				
				Fund Type Code	(A) NNC Approved Original Budget	(B) Proposed Budget	(C) Difference or Total	
NN Fiscal Recovery Funds	FY 23-FY25 10/1/23-9/30/24	15,000.00	100%	2001 Personnel Expenses				
				3000 Travel Expenses				
				3500 Meeting Expenses				
				4000 Supplies				
				5000 Lease and Rental				
				5500 Communications and Utilities				
				6000 Repairs and Maintenance				
				6500 Contractual Services	6	15,000	15,000	
				7000 Special Transactions				
				8000 Public Assistance				
				9000 Capital Outlay				
				9500 Matching Funds				
				9500 Indirect Cost				
				TOTAL		\$0.00	15,000.00	15,000
				PART IV. POSITIONS AND VEHICLES				
						(D)	(E)	
				Total # of Positions Budgeted:		0	0	
				Total # of Vehicles Budgeted:		0	0	
TOTAL:		\$15,000.00	100%					

PART V. I HEREBY ACKNOWLEDGE THAT THE INFORMATION CONTAINED IN THIS BUDGET PACKAGE IS COMPLETE AND ACCURATE.

SUBMITTED BY: Walton Yazzie APPROVED BY: Lisa Jymm
 Program Manager's Printed Name Division Director / Branch Chief's Printed Name
Walton Yazzie 10/24/22 Lisa Jymm, NUTRFO
 Program Manager's Signature and Date Division Director / Branch Chief's Signature and Date

Handwritten signatures and date:
 [Signature] 2/9/2023



FY 2023

THE NAVAJO NATION
PROGRAM PERFORMANCE CRITERIA

Page 2 of 4
BUDGET FORM 2

PART I. PROGRAM INFORMATION:										
Business Unit No.:		New		Program Name/Title:			Chino South Manuelito Well			
PART II. PLAN OF OPERATION/RESOLUTION NUMBER/PURPOSE OF PROGRAM:										
PART III. PROGRAM PERFORMANCE CRITERIA:										
		1st QTR		2nd QTR		3rd QTR		4th QTR		
		Goal	Actual	Goal	Actual	Goal	Actual	Goal	Actual	
1. Goal Statement:										
Provide an access point to the well										
Program Performance Measure/Objective:										
Designated a turn off on HWY 191						1				
2. Goal Statement:										
Program Performance Measure/Objective:										
3. Goal Statement:										
Program Performance Measure/Objective:										
4. Goal Statement:										
Program Performance Measure/Objective:										
5. Goal Statement:										
Program Performance Measure/Objective:										
PART IV. I HEREBY ACKNOWLEDGE THAT THE ABOVE INFORMATION HAS BEEN THOROUGHLY REVIEWED.										
<u>Walter Yazzie</u> Program Manager's Printed Name				<u>Lisa Jynn</u> Division Director/Branch Chief's Printed Name						
<u>[Signature]</u> 10-24-22 Program Manager's Signature and Date				<u>[Signature]</u> NNAFB Division Director/Branch Chief's Signature and Date						

1 mvalshs

2/9/2023

FY 2023

THE NAVAJO NATION
DETAILED BUDGET AND JUSTIFICATION

Page 3 of 4
BUDGET FORM 4

PART I. PROGRAM INFORMATION:				
Program Name/Title: <u>Chinle South Manuelito Well</u>		Business Unit No.: <u>New</u>		
PART II. DETAILED BUDGET:				
(A)	(B)	(C)	(D)	
Object Code (LOD 6)	Object Code Description and Justification (LOD 7)	Total by DETAILED Object Code (LOD 6)	Total by MAJOR Object Code (LOD 4)	
6509	Contractual Services Chinle Chapter to contract out construction of well.	15,000	15,000	
6560				Consulting
6591				Consulting Fee
TOTAL		15,000	15,000	

ref states

Appendix B
Chinle Chapter Office of Diné
Youth

FY 2023

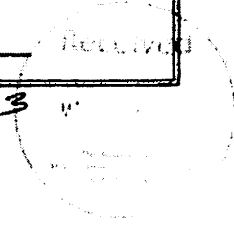
THE NAVAJO NATION
PROGRAM BUDGET SUMMARY

Page 1 of 4
BUDGET FORM 1

PART I. Business Unit No.: <u>New</u>		Program Title: <u>China Office of Dine Youth</u>		Division/Branch: <u>DCD / Executive Branch</u>				
Prepared By: <u>Walton Yazzie</u>		Phone No.: <u>928.674.2052</u>		Email Address: <u>wyazzie@nnchapters.org</u>				
PART II. FUNDING SOURCE(S)	Fiscal Year /Term	Amount	% of Total	PART III. BUDGET SUMMARY	Fund Type Code	(A) NNC Approved Original Budget	(B) Proposed Budget	(C) Difference or Total
NN Fiscal Recovery Funds	FY 23-FY25	50,000.00	100%	2001 Personnel Expenses				
	<u>10/1/20-9/30/25</u>			3000 Travel Expenses				
				3500 Meeting Expenses				
				4000 Supplies				
				5000 Lease and Rental				
				5500 Communications and Utilities				
				6000 Repairs and Maintenance				
				6500 Contractual Services				
				7000 Special Transactions				
				8000 Public Assistance	6		50,000	50,000
				9000 Capital Outlay				
				9500 Matching Funds				
				9500 Indirect Cost				
				TOTAL		\$0.00	50,000.00	50,000
TOTAL:				PART IV. POSITIONS AND VEHICLES		(D)	(E)	
				Total # of Positions Budgeted:		2	2	
				Total # of Vehicles Budgeted:		0	0	
PART V. I HEREBY ACKNOWLEDGE THAT THE INFORMATION CONTAINED IN THIS BUDGET PACKAGE IS COMPLETE AND ACCURATE.								
SUBMITTED BY: <u>Walton Yazzie</u>			APPROVED BY: <u>Lisa Jymm</u>					
Program Manager's Printed Name			Division Director / Branch Chief's Printed Name					
<u>[Signature]</u> <u>10/24/22</u>			<u>[Signature]</u> <u>NNFTRD</u>					
Program Manager's Signature and Date			Division Director / Branch Chief's Signature and Date					

1.17 9/15/23

[Signature] 2/9/2023



FY 2023

THE NAVAJO NATION
PROGRAM PERFORMANCE CRITERIA

Page 2 of 4
BUDGET FORM 2

PART I. PROGRAM INFORMATION:
Business Unit No.: _____ New _____ Program Name/Title: Chinle Office of Dine Youth

PART II. PLAN OF OPERATION/RESOLUTION NUMBER/PURPOSE OF PROGRAM:

PART III. PROGRAM PERFORMANCE CRITERIA:	1st QTR		2nd QTR		3rd QTR		4th QTR	
	Goal	Actual	Goal	Actual	Goal	Actual	Goal	Actual
1. Goal Statement: <u>Install showers and other related work duties</u> Program Performance Measure/Objective: <u>Hire two (2) Maintenance Technicians</u>			2		2			
2. Goal Statement: <u>Safer place to work</u> Program Performance Measure/Objective: <u>Purchase PPE supplies</u>					1			
3. Goal Statement: <u>Need a place to store PPE supplies</u> Program Performance Measure/Objective: <u>Purchase a Storage box</u>					1			
4. Goal Statement: Program Performance Measure/Objective:								
6. Goal Statement: Program Performance Measure/Objective:								

PART IV. I HEREBY ACKNOWLEDGE THAT THE ABOVE INFORMATION HAS BEEN THOROUGHLY REVIEWED.

_____ Walton Yazzie Program Manager's Printed Name <u>Walton Yazzie</u> 10-24-22 Program Manager's Signature and Date	_____ Lisa Jummy Division Director/Branch Chief's Printed Name <u>Lisa Jummy, NNAFBO</u> Division Director/Branch Chief's Signature and Date
---	--

1.11/10/2022

2/9/2022

FY 2023

THE NAVAJO NATION
DETAILED BUDGET AND JUSTIFICATION

Page 3 of 4
BUDGET FORM 4

PART I. PROGRAM INFORMATION:			
Program Name/Title: <u>Chinle Office of Dine Youth</u>		Business Unit No.: <u>New</u>	
PART II. DETAILED BUDGET:			
(A)	(B)	(C)	(D)
Object Code (LOD 6)	Object Code Description and Justification (LOD 7)	Total by DETAILED Object Code (LOD 6)	Total by MAJOR Object Code (LOD 4)
8000	Assistance		50,000
8705	Chapter		
8710	PEP	32,854	
→ 8740	Emergency	17,148	
<p>Complete Chinle ODY building upgrades and assist youth in the community.</p>			
TOTAL		50,000	50,000

* No justification for 8740

Appendix B

Chinle Chapter Wellness Center

FY 2023

THE NAVAJO NATION
PROGRAM BUDGET SUMMARY

PART I. Business Unit No.: New Program Title Chinle Wellness Center Division/Branch: DCD / Executive Branch
 Prepared By: Walton Yazzie Phone No.: 928.674.2052 Email Address: wyazzie@nnchapters.org

PART II. FUNDING SOURCE(S)	Fiscal Year /Term	Amount	% of Total	PART III. BUDGET SUMMARY	Fund Type Code	(A)	(B)	(C)
						NNC Approved Original Budget	Proposed Budget	Difference or Total
NN Fiscal Recovery Funds	FY23-FY25	750,000.00	100%					
	10/1/22 - 9/30/25			2001 Personnel Expenses				
				3000 Travel Expenses				
				3500 Meeting Expenses				
				4000 Supplies				
				5000 Lease and Rental				
				5500 Communications and Utilities				
				6000 Repairs and Maintenance				
				6500 Contractual Services	6	0	750,000	750,000
				7000 Special Transactions				
				8000 Public Assistance				
				8000 Capital Outlay				
				9500 Matching Funds				
				9500 Indirect Cost				
				TOTAL		\$0.00	750,000.00	750,000
TOTAL: \$750,000.00 100%				PART IV. POSITIONS AND VEHICLES		(D)	(E)	
				Total # of Positions Budgeted:		0	0	
				Total # of Vehicles Budgeted:		0	0	

PART V. I HEREBY ACKNOWLEDGE THAT THE INFORMATION CONTAINED IN THIS BUDGET PACKAGE IS COMPLETE AND ACCURATE.

SUBMITTED BY: Walton Yazzie APPROVED BY: Lisa Jymn
 Program Manager's Printed Name Division Director / Branch Chief's Printed Name
Walton Yazzie 10.24.22 Lisa Jymn, NNC
 Program Manager's Signature and Date Division Director / Branch Chief's Signature and Date

2-3-3-23
James Adakdi, Deputy Director
Division of Community Development

1-17-3/11/23

3/2/2023
Calvin Castillo, Division Director
Division of Community Development

FY 2023

THE NAVAJO NATION
PROGRAM PERFORMANCE CRITERIA

PART I. PROGRAM INFORMATION:									
Business Unit No.:		<u>New</u>		Program Name/Title:			<u>Chinle Wellness Center</u>		
PART II. PLAN OF OPERATION/RESOLUTION NUMBER/PURPOSE OF PROGRAM:									
PART III. PROGRAM PERFORMANCE CRITERIA:									
		1st QTR		2nd QTR		3rd QTR		4th QTR	
		Goal	Actual	Goal	Actual	Goal	Actual	Goal	Actual
1. Goal Statement: <u>Provide a Facility to promote physical and mental health</u>									
Program Performance Measure/Objective: <u>To complete construction of gym for community members</u>									
2. Goal Statement: 									
Program Performance Measure/Objective: 									
3. Goal Statement: 									
Program Performance Measure/Objective: 									
4. Goal Statement: 									
Program Performance Measure/Objective: 									
5. Goal Statement: 									
Program Performance Measure/Objective: 									
PART IV. I HEREBY ACKNOWLEDGE THAT THE ABOVE INFORMATION HAS BEEN THOROUGHLY REVIEWED.									
<u>Walton Yazzie</u> Program Manager's Printed Name				<u>Lisa Jymn</u> Division Director/Branch Chief's Printed Name					
<u>[Signature]</u> <u>10-24-22</u> Program Manager's Signature and Date				<u>[Signature]</u> Division Director/Branch Chief's Signature and Date					

2-3-3-23
James Atiakai, Deputy Director

[Signature]

[Signature]
3/2/2023
Calvin Castillo, Division Director

FY 2023

THE NAVAJO NATION
DETAILED BUDGET AND JUSTIFICATION

Page 3 of 4
BUDGET FORM 4

PART I. PROGRAM INFORMATION:			
Program Name/Title: <u>Chinie Wellness Center</u>		Business Unit No.: <u>New</u>	
PART II. DETAILED BUDGET:			
(A)	(B)	(C)	(D)
Object Code (LOD 6)	Object Code Description and Justification (LOD 7)	Total by DETAILED Object Code (LOD 6)	Total by MAJOR Object Code (LOD 4)
6500	Contractual Services (LOD 4)		
6960	Subcontracted Services		750,000
6990	Subcontracted Services	750,000	
	Contractors to build wellness center for Chinle Chapter		
TOTAL		750,000	750,000

(LOD 7)

Handwritten signature/initials

Appendix B
Chinle Chapter Warehouse

FY 2023

THE NAVAJO NATION
PROGRAM BUDGET SUMMARY

PART I. Business Unit No.: New Program Title: China Warehouse Division/Branch: DCD/Executive Branch
 Prepared By: Walton Yazzie Phone No.: 928.674.2052 Email Address: wyazzie@nnchapters.org

PART II. FUNDING SOURCE(S)	Fiscal Year /Term	Amount	% of Total	PART III. BUDGET SUMMARY	Fund Type Code	(A)	(B)	(C)
						NNC Approved Original Budget	Proposed Budget	Difference or Total
NN Fiscal Recovery Funds	FY23-FY25	1,200,000.00	100%					
	10/1/20 10/1/25			2001 Personnel Expenses				
				3000 Travel Expenses				
				3500 Meeting Expenses				
				4000 Supplies				
				5000 Lease and Rental				
				6500 Communications and Utilities				
				6000 Repairs and Maintenance				
				6500 Contractual Services	6		1,200,000	1,200,000
				7000 Special Transactions				
				8000 Public Assistance				
				9000 Capital Outlay				
				9500 Matching Funds				
				9500 Indirect Cost				
				TOTAL		\$0.00	1,200,000.00	1,200,000
				PART IV. POSITIONS AND VEHICLES		(D)	(E)	
				Total # of Positions Budgeted:		0	0	
				Total # of Vehicles Budgeted:		0	0	
TOTAL:								
PART V. I HEREBY ACKNOWLEDGE THAT THE INFORMATION CONTAINED IN THIS BUDGET PACKAGE IS COMPLETE AND ACCURATE.								
SUBMITTED BY: <u>Walton Yazzie</u> Program Manager's Printed Name				APPROVED BY: <u>Lisa Jymm</u> Division Director / Branch Chief's Printed Name				
<u>Walton Yazzie</u> 10-24-22 Program Manager's Signature and Date				<u>Lisa Jymm, NNPRFO</u> Division Director / Branch Chief's Signature and Date				

1.17/10/23

2/9/2023

FY 2023

THE NAVAJO NATION
PROGRAM PERFORMANCE CRITERIA

PART I. PROGRAM INFORMATION:

Business Unit No.: New

Program Name/Title:

China Warehouse

PART II. PLAN OF OPERATION/RESOLUTION NUMBER/PURPOSE OF PROGRAM:

PART III. PROGRAM PERFORMANCE CRITERIA:

1st QTR		2nd QTR		3rd QTR		4th QTR	
Goal	Actual	Goal	Actual	Goal	Actual	Goal	Actual

1. Goal Statement:

New warehouse to protect equipment that is utilized to serve the China community and surrounding areas

Program Performance Measure/Objective:

To complete construction of Warehouse

				1			
--	--	--	--	---	--	--	--

2. Goal Statement:

Program Performance Measure/Objective:

--	--	--	--	--	--	--	--

3. Goal Statement:

Program Performance Measure/Objective:

--	--	--	--	--	--	--	--

4. Goal Statement:

Program Performance Measure/Objective:

--	--	--	--	--	--	--	--

5. Goal Statement:

Program Performance Measure/Objective:

--	--	--	--	--	--	--	--

PART IV. I HEREBY ACKNOWLEDGE THAT THE ABOVE INFORMATION HAS BEEN THOROUGHLY REVIEWED.

Walton Yazzie

Program Manager's Printed Name

[Signature] 10/24/22

Program Manager's Signature and Date

Lisa Jyrmn

Division Director/Branch Chief's Printed Name

[Signature] 11/20/22

Division Director/Branch Chief's Signature and Date

1.17.23/11/23

[Signature] 2/9/2023

FY 2023

THE NAVAJO NATION
DETAILED BUDGET AND JUSTIFICATION

PART I. PROGRAM INFORMATION:			
Program Name/Title: <u>Chinle Warehouse</u>		Business Unit No.: <u>New</u>	
PART II. DETAILED BUDGET:			
(A)	(B)	(C)	(D)
Object Code (LOD 8)	Object Code Description and Justification (LOD 7)	Total by DETAILED Object Code (LOD 6)	Total by MAJOR Object Code (LOD 4)
6500	Contractual Services (LOD 4)		1,200,000
6600	Subcontracted Services		
6900	Subcontracted Services	1,200,000	
	<i>Contractors to build warehouse for Chinle Chapter.</i>		
TOTAL:		1,200,000	1,200,000

on 6 -

**mf 3/1/23*

Appendix C

Disbursement Schedule



DR. BUU NYGREN PRESIDENT
RICHELLE MONTOYA VICE PRESIDENT

The Navajo Nation | Yidceskáądi Nitsáhákees

SUBRECIPIENT AGREEMENT

Between

THE NAVAJO NATION

And

Chinle Chapter

Appendix C

Disbursement Schedule

The Navajo Nation Fiscal Recovery Fund Office will make an initial disbursement of **50%** (**\$2,270,000.00**) of the total allocated amount of **\$4,540,000.00** to the **SUBRECIPIENT**. **75%** (**\$1,702,500.00**) of this funding must be expended before any additional amounts will be disbursed. The second and third disbursement will be 25% of each project total.

1. K211580 - Chinle Wellness Center - \$750,000.00
2. K211583 - Bathroom Additions - \$1,725,000.00
3. K211585 - Chinle Chapter Renovation - \$800,000.00
4. K211586 - South Manuelito Well Traffic Study - \$15,000.00
5. K211588 - Office of Dine Youth - \$50,000.00
6. K211591 - Chinle Warehouse - \$1,200,000.00

*The **SUBRECIPIENT** must provide documentation that it has obligated or expended 75% of its prior disbursement installment before OOC will release the next disbursement installment. If the **SUBRECIPIENT** expends 75% of its disbursement installment prior to the end of a twelve-month period, the **SUBRECIPIENT** may request to the FRF Office, the Administrative Oversight, and OOC that OOC release the next disbursement installment prior to the end of that twelve-month period

CONCURRED BY:


Calvin Castillo, Executive Director
Division of Community Development

Appendix D

Expenditure Plan

Appendix D
Chinle Chapter Bathroom
Additions Project



NAVAJO NATION DEPARTMENT OF JUSTICE
OFFICE OF THE ATTORNEY GENERAL

DOREEN N. MCPAUL
Attorney General

KIMBERLY A. DUTCHER
Deputy Attorney General

DEPARTMENT OF JUSTICE
INITIAL ELIGIBILITY DETERMINATION
FOR NAVAJO NATION FISCAL RECOVERY FUNDS

RFS/HK Review #: HK0207

Date & Time Received: 11/15/22 14:15

Date & Time of Response: 11/18/22 1:45 PM

Entity Requesting FRF: Chinle Chapter Government

Title of Project: Chinle Chapter Bathroom Additions Project

Administrative Oversight: Division of Community Development

Amount of Funding Requested: \$1,725,000

Eligibility Determination:

- FRF eligible
 FRF ineligible
 Additional information requested

FRF Eligibility Category:

- (1) Public Health and Economic Impact
 (2) Premium Pay
 (3) Government Services/Lost Revenue
 (4) Water, Sewer, Broadband Infrastructure

U.S. Department of Treasury Reporting Expenditure Category: 1:14 (Other Public Health Services)

Returned for the following reasons (Ineligibility Reasons / Paragraphs 5. E. (1) - (10) of FRF Procedures):

- | | |
|--|--|
| <input type="checkbox"/> Missing Form | <input type="checkbox"/> Expenditure Plan incomplete |
| <input type="checkbox"/> Supporting documentation missing | <input type="checkbox"/> Funds will not be obligated by 12/31/2024 |
| <input type="checkbox"/> Project will not be completed by 12/31/2026 | <input type="checkbox"/> Incorrect Signatory |
| <input type="checkbox"/> Ineligible purpose | <input type="checkbox"/> Inconsistent with applicable NN or federal laws |
| <input type="checkbox"/> Submitter failed to timely submit CARES reports | |
| <input type="checkbox"/> Additional information submitted is insufficient to make a proper determination | |

Name of DOJ Reviewer: Kristen A. Lowell

Signature of DOJ Reviewer: 

Disclaimers: An NNDOJ Initial Eligibility Determination will be based on the documents provided, which NNDOJ will assume are true, correct, and complete. Should the Project or Program change in any material way after the initial determination, the requestor must seek the advice of NNDOJ. An initial determination is limited to review of the Project or Program as it relates to whether the Project or Program is a legally allowable use – it does not serve as an opinion as to whether or not the Project or Program should be funded, nor does it serve as an opinion as to whether or not the amount requested is reasonable or accurate.

**THE NAVAJO NATION
FISCAL RECOVERY FUNDS REQUEST FORM & EXPENDITURE PLAN
FOR GOVERNANCE-CERTIFIED CHAPTERS**

Part 1. Identification of parties.

Governance-Certified Chapter requesting FRF: Chinle Chapter Government Date prepared: 10-19-2022

Chapter's PO BOX 1809 phone & email: (928) 674-2052
mailing address: Chinle, AZ 86503 website (if any): chinle@navajochapters.org

This Form prepared by: Dr. Rosanna Jumbo-Fitch phone/email: (928) 225-1658
Chinle Chapter President rosanna.jumbo@naataanii.org
CONTACT PERSON'S name and title CONTACT PERSON'S info

Title and type of Project: Chinle Chapter Bathroom Additions Project

Chapter President: Dr. Rosanna Jumbo-Fitch phone & email: (928) 225-1658/rosanna.jumbo@naataanii.org

Chapter Vice-President: Shawna Claw phone & email: (928) 674-2052/sclaw@navajochapters.org

Chapter Secretary: Roann Burbank phone & email: (928) 674-2052/rburbank@navajochapters.org

Chapter Treasurer: Roann Burbank phone & email: (928) 674-2052/rburbank@navajochapters.org

Chapter Manager or CSC: Walton Yazzie, Manager phone & email: (505)910-9473/wyazzie@navajochapters.org

DCD/Chapter ASO: _____ phone & email: _____

List types of Subcontractors or Subrecipients that will be paid with FRF (if known): Chinle Chapter Government employees. document attached

Amount of FRF requested: 1,725,000.00 FRF funding period: 2023-2026
Indicate Project starting and ending/deadline date

Part 2. Expenditure Plan details.

(a) Describe the Program(s) and/or Project(s) to be funded, including how the funds will be used, for what purposes, the location(s) to be served, and what COVID-related needs will be addressed:

Chinle Chapter Government Bathroom Additions Project includes an addition to community members homes. The funds will be used to purchase lumber and supplies in order to construct bathroom additions for the community members. The Chinle Chapter residents are located within Chinle, AZ boundary, map attached. The COVID-19 related needs will be met, as each requesting applicant will receive a bathroom addition, which OEH, IHS, and NTUA will assist in final waterline connections. document attached

(b) Explain how the Program or Project will benefit the Navajo Nation, Navajo communities, or the Navajo People:

The Chinle Chapter Bathroom Additions project would benefit the Navajo Nation, Chinle community, and our Navajo people by providing bathroom additions to our community members homes. The Chapter would construct the bathroom additions with manpower and delivery of materials and equipment to project site. document attached

(c) A prospective timeline showing the estimated date of completion of the Project and/or each phase of the Project. Disclose any challenges that may prevent you from incurring costs for all funding by December 31, 2024 and/or fully expending funds and completing the Program(s) or Project(s) by December 31, 2026:

Chinle Chapter Government Bathroom Additions Project timeline: Chinle Chapter resolution 10/17/2022, Navajo Nation and DOJ review submissions Winter 2022, Purchases Spring 2023- Fall 2023. Construction Summer 2023- Summer 2026. Challenges would include Navajo Nation review timeline.

(d) Identify who will be responsible for implementing the Program or Project:

document attached

Chinle Chapter Government will be responsible for implementing the project and assistance.

(e) Explain who will be responsible for operations and maintenance costs for the Project once completed, and how such costs will be funded prospectively.

document attached

The Chinle Chapter Government and Community Members will be responsible for operations and maintenance costs for the project once completed.

(f) State which of the 68 Fiscal Recovery Fund expenditure categories in the attached U.S. Department of the Treasury Appendix 1 listing the proposed Program or Project falls under, and explain the reason why.

document attached

Other Public Health Services^ 1.14

Chinle Chapter is seeking funding for in house construction of bathroom additions for each community member that has submitted an application (in addition with IHS, OEH, NTUA). The Chinle Chapter would be able to purchase supplies and construct the bathroom additions per the approved drawings provided by OEH. The bathroom additions will follow design and specifications provided. The project will be coordinated with the homeowner and third party project manager (OEH, IHS, NTUA). The goal is to provide running water and septic for the applicants.

Part 3. Additional documents.

document attached

List here all additional supporting documents attached to this FRF Expenditure Plan (or indicate N/A):

Chapter Resolution is attached, name of applicants, supporting resolution 2021, supporting documents from 2021 application process.

Part 4. Affirmation by Funding Recipient.

Chapter Resolution attached

Funding Recipient affirms that its receipt of Fiscal Recovery Funds and the implementation of this FRF Expenditure Plan shall be in accordance with Resolution No. CJY-41-21, the ARPA, ARPA Regulations, and with all applicable federal and Navajo Nation laws, regulations, and policies.

Chapter's Preparer:



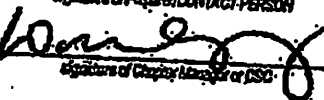
Signature of Preparer/CONTACT PERSON

Approved by:



Signature of Chapter President (or Vice President)

Approved by:

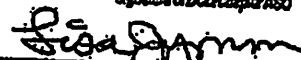


Signature of Chapter Director or DSO

Approved by:

Signature of DCC Chapter ASO

Approved to submit for Review:



Signature of DCO Director

Chinle Chapter Government

THE NAVAJO NATION

Dr. Rosanna Jumbo-Fitch
PRESIDENT

Shawna Claw
VICE PRESIDENT

RoAnn Burbank
SECRETARY/TREASURER

Eugene Tso
COUNCIL DELEGATE

Oscar Bia
GRAZING COMMITTEE MEMBER

RESOLUTION OF THE CHINLE CHAPTER NAVAJO NATION CHIN-OCT-22-080

APPROVING THE SELECTION OF THE CHAPTER SOUTH MANUELITO WELL TRAFFIC STUDY PROJECT FOR THE INCLUSION ON THE CHINLE CHAPTER DELEGATE REGION IN THE AMOUNT OF \$15,000.00.

WHEREAS:

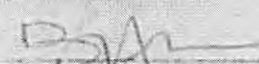
1. Pursuant to Navajo Nation Code, Section 4001 (d) and 4028 (2), (b) the Chinle Chapter is established and certified as a local government entity of the Navajo Nation vested with the authority to review all matters affecting the chapter and submit appropriate recommendations to the Navajo Nation government of other local agencies by resolutions; and
2. To support the efforts of the Navajo Nation to mitigate the effects of the COVID-19 Pandemic, the American Rescue Plan Act (ARPA) Fiscal Recovery Funds were allocated to develop the basic infrastructure to improve lives of people who have lived without water, electricity and basic services to support their daily activities, health, and welfare"; and
3. The Navajo Nation Council approved CJN-29-22, in response to the COVID-19 Pandemic in the best interest of the people: "An Action Relating to the Naabik'iyati' Committee and Navajo Nation Council; Allocating \$1,070,298,867 of Navajo Nation Fiscal Recovery Funds; Approving the Navajo Nation Fiscal Recovery Fund Expenditure Plans for: Chapter Assistance; Public Safety Emergency Communication, E911, and Rural Addressing Projects; Cyber Security; Public Health Projects; Economic Development Project; Hardship Assistance; Water and Wastewater Projects; Broadband Projects; Home Electrical Connection and Electricity Capacity Projects; Housing Projects and Manufactured Housing Facilities Bathroom Addition Projects; Construction Contingency Funding; and Reduced Administrative Funding"; and
4. The Chinle Chapter Government has attended several meetings with Navajo Nation Division of Community Development, Navajo Tribal Utility Authority, and the Fiscal Recovery Fund Office; and
5. The eligible attached Exhibit: Chinle Chapter South Manuelito Well Traffic Study was selected as a Project to be included on the Navajo Nation Council Delegate Eugene Tso Chapter Region in the amount of \$15,000.00 for the Chinle Chapter; and
6. The total amount for Chinle Chapter Delegate Region is \$ 8,802,340.00.


NOW, THEREFORE BE IT RESOLVED THAT:


1. The Chinle Chapter Government hereby approves the selection of Chinle Chapter South Manuelito Well Traffic Study was a selected Project to be included on the Navajo Nation Council Delegate Eugene Tso Chapter Region in the amount of \$15,000.00.

CERTIFICATION

We hereby certify that the foregoing chapter resolution was duly considered by the Chinle Chapter at a duly called meeting at which time a quorum was present. A motion was made by Oscar Bia Sr. and seconded by Myren McLaughlin and the same was passed by a vote of 5 in favor, 2 opposed, and 2 abstained, this 17th day of October, 2022.


Rosanna Jumbo-Fitch, President


Shawna Claw, Vice President


RoAnn Burbank, Secretary/Treasurer

PO Box 1809 Chinle, Arizona
86503

• P: 928 674-2052 • F: (928) 674-2079 • chinle@navajochapter.org

Appendix D
Chinle Chapter House
Renovation Project



NAVAJO NATION DEPARTMENT OF JUSTICE
OFFICE OF THE ATTORNEY GENERAL

DOREEN N. MCPAUL
Attorney General

KIMBERLY A. DUTCHER
Deputy Attorney General

DEPARTMENT OF JUSTICE
INITIAL ELIGIBILITY DETERMINATION
FOR NAVAJO NATION FISCAL RECOVERY FUNDS

RFS/HK Review #: HK0209

Date & Time Received: 11/15/22 at 14:29

Date & Time of Response: 11/22/22 5:00 p.m.

Entity Requesting FRF: Chinle Chapter Government

Title of Project: Chinle Chapter House Renovation Project

Administrative Oversight: Division of Community Development

Amount of Funding Requested: \$800,000

Eligibility Determination:

- FRF eligible
 FRF ineligible
 Additional information requested

FRF Eligibility Category:

- (1) Public Health and Economic Impact
 (2) Premium Pay
 (3) Government Services/Lost Revenue
 (4) Water, Sewer, Broadband Infrastructure

U.S. Department of Treasury Reporting Expenditure Category: 2.22 (Strong Healthy Communities: Neighborhood Features that Promote Health and Safety)

Returned for the following reasons (Ineligibility Reasons / Paragraphs 5. E. (1) - (10) of FRF Procedures):

- | | |
|--|--|
| <input type="checkbox"/> Missing Form | <input type="checkbox"/> Expenditure Plan incomplete |
| <input type="checkbox"/> Supporting documentation missing | <input type="checkbox"/> Funds will not be obligated by 12/31/2024 |
| <input type="checkbox"/> Project will not be completed by 12/31/2026 | <input type="checkbox"/> Incorrect Signatory |
| <input type="checkbox"/> Ineligible purpose | <input type="checkbox"/> Inconsistent with applicable NN or federal laws |
| <input type="checkbox"/> Submitter failed to timely submit CARES reports | |
| <input type="checkbox"/> Additional information submitted is insufficient to make a proper determination | |

Other Comments: _____

Name of DOJ Reviewer: Kristen A. Lowell

Signature of DOJ Reviewer: 

Disclaimers: An NNDOJ Initial Eligibility Determination will be based on the documents provided, which NNDOJ will assume are true, correct, and complete. Should the Project or Program change in any material way after the initial determination, the requestor must seek the advice of NNDOJ. An initial determination is limited to review of the Project or Program as it relates to whether the Project or Program is a legally allowable use – it does not serve as an opinion as to whether or not the Project or Program should be funded, nor does it serve as an opinion as to whether or not the amount requested is reasonable or accurate.

**THE NAVAJO NATION
FISCAL RECOVERY FUNDS REQUEST FORM & EXPENDITURE PLAN
FOR GOVERNANCE-CERTIFIED CHAPTERS**

Part 1. Identification of parties.

Governance-Certified Chapter requesting FRF: Chinle Chapter Government Date prepared: 10-19-2022

Chapter's mailing address: PO BOX 1809 Chinle, AZ 86503 phone & email: (928) 674-2052
website (if any): chinle@navajochapters.org

This Form prepared by: Dr. Rosanna Jumbo-Fitch phone/email: (928) 225-1658
Chinle Chapter President CONTACT PERSON'S name and title rosanna.jumbo@naataanii.org CONTACT PERSON'S info

Title and type of Project: Chinle Chapter House Renovation Project

Chapter President: Dr. Rosanna Jumbo-Fitch phone & email: (928) 225-1658/rosanna.jumbo@naataanii.org

Chapter Vice-President: Shawna Claw phone & email: (928) 674-2052/sclaw@navajochapters.org

Chapter Secretary: Roann Burbank phone & email: (928) 674-2052/rburbank@navajochapters.org

Chapter Treasurer: Roann Burbank phone & email: (928) 674-2052/rburbank@navajochapters.org

Chapter Manager or CSC: Walton Yazzie, Manager phone & email: (505)910-9473/wyazzie@navajochapters.org

DCD/Chapter ASO: _____ phone & email: _____

Types of Subcontractors or Subrecipients that will be paid with FRF (if known): Not known

document attached

Amount of FRF requested: 800,000.00 FRF funding period: 2023-2025
Indicate Project starting and ending/baseline date

Part 2. Expenditure Plan details.

(a) Describe the Program(s) and/or Project(s) to be funded, including how the funds will be used, for what purposes, the location(s) to be served, and what COVID-related needs will be addressed:

Chinle Chapter Government Chapter House Renovation Project includes design and construction of our existing Chapter house. The funds will be used to design and renovate the Chapter house: restrooms, meeting room, HVAC upgrades, and accessibility upgrades. The Chinle Chapter house renovation project is located on the Chinle Chapter compound. The COVID-19 related needs will be met, as our community members need to be able to access accesible showers, restrooms, and overall meet the Navajo Nation COVID-19 protocols of social distancing.

document attached

(b) Explain how the Program or Project will benefit the Navajo Nation, Navajo communities, or the Navajo People:

The Chinle Chapter Chapter House Renovation Project would benefit the Navajo Nation, Chinle community, and our Navajo people by providing accesibility access to the Chinle Chapter house, provide access to use restroom facilities, access to public showers, and overall an elevator access to the second floor.

document attached

(c) A prospective timeline showing the estimated date of completion of the Project and/or each phase of the Project. Disclose any challenges that may prevent you from incurring costs for all funding by December 31, 2024 and/or fully expending funds and completing the Program(s) or Project(s) by December 31, 2026:

APPENDIX A

Chinle Chapter Government Chapter House Renovation Project timeline: Chinle Chapter resolution 10/17/2022, Navajo Nation and DOJ review submissions Winter 2022, Proposals Spring 2023, Contract Award Summer 2023, Construction Fall 2023-Fall 2024. Challenges would include Navajo Nation review timeline.

document attached

(d) Identify who will be responsible for implementing the Program or Project:

Chinle Chapter Government will be responsible for implementing the project.

document attached

(e) Explain who will be responsible for operations and maintenance costs for the Project once completed, and how such costs will be funded, prospectively:

The Chinle Chapter Government will be responsible for operations and maintenance costs for the project once completed.

document attached

(f) State which of the 66 Fiscal Recovery Fund expenditure categories in the attached U.S. Department of the Treasury Appendix 1 listing the proposed Program or Project falls under, and explain the reason why:

COVID-19 Aid to Impacted Industries^A 1.10

Chinle Chapter is seeking funding for the renovation of the existing chapter house. The current chapter house does not meet accessibility requirements to the second floor, does not have accessible restrooms or showers, and is lacking a mechanical system to keep our community members warm and cool during the various seasons. The Chinle Chapter was used as a point of distribution during the height of the COVID-19 pandemic and was used a storage room in addition to operating chapter services. The existing building would need to be renovated in order to better serve our community members per COVID-19 protocols.

document attached

Part 3. Additional documents.

List here all additional supporting documents attached to this FRF Expenditure Plan (or indicate N/A):

Chapter Resolution is attached and budget.

Chapter Resolution attached

Part 4. Affirmation by Funding Recipient.

Funding Recipient affirms that its receipt of Fiscal Recovery Funds and the implementation of this FRF Expenditure Plan shall be in accordance with Resolution No. CJY-41-21, the ARPA, ARPA Regulations, and with all applicable federal and Navajo Nation laws, regulations, and policies:

Chapter's Preparer: PSA
Signature of Preparer/CONTACT PERSON

Approved by: PSA
Signature of Chapter President (or Vice President)

Approved by: [Signature]
Signature of Chapter Manager or ASO

Approved by: [Signature]
Signature of DCCU Chapter ASD

Approved to submit for Review: [Signature]
Signature of DCCU Director

Chinle Chapter Government

THE NAVAJO NATION

Dr. Rosanna Jumbo-Fitch
PRESIDENT

Shawna Claw
VICE PRESIDENT

RoAnn Burbank
SECRETARY / TREASURER

Eugene Tso
COUNCIL DELEGATE

Oscar Bia
GRAZING COMMITTEE MEMBER

RESOLUTION OF THE CHINLE CHAPTER NAVAJO NATION CHIN-OCT-22-078

APPROVING THE SELECTION OF THE CHAPTER HOUSE RENOVATION PROJECT FOR THE INCLUSION ON THE CHINLE CHAPTER DELEGATE REGION IN THE AMOUNT OF \$800,000.00.

WHEREAS:


Pursuant to Navajo Nation Code, Section 4001 (d) and 4028 (2), (b) the Chinle Chapter is established and certified as a local government entity of the Navajo Nation vested with the authority to review all matters affecting the chapter and submit appropriate recommendations to the Navajo Nation government of other local agencies by resolutions; and To support the efforts of the Navajo Nation to mitigate the effects of the COVID-19 Pandemic, the American Rescue Plan Act (ARPA) Fiscal Recovery Funds were allocated to develop the basic infrastructure to improve lives of people who have lived without water, electricity and "basic services to support their daily activities, health, and welfare"; and The Navajo Nation Council approved CJN-29-22, in response to the COVID-19 Pandemic in the best interest of the people: "An Action Relating to the Naabik'iyati' Committee and Navajo Nation Council; Allocating \$1,070,298,867 of Navajo Nation Fiscal Recovery Funds; Approving the Navajo Nation Fiscal Recovery Fund Expenditure Plans for: Chapter Assistance; Public Safety Emergency Communications, E911, and Rural Addressing Projects; Cyber Security; Public Health Projects; Economic Development Projects; Hardship Assistance; Water and Wastewater Projects; Broadband Projects; Home Electricity Connection and Electricity Capacity Projects; Housing Projects and Manufactured Housing Facilities; Bathroom Addition Projects; Construction Contingency Funding; and Reduced Administrative Funding"; and The Chinle Chapter Government has attended several meetings with Navajo Nation Division of Community Development, Navajo Tribal Utility Authority, and the Fiscal Recovery Fund Office; and The eligible attached Exhibit: Chinle Chapter House Renovation was selected as a Project to be included on the Navajo Nation Council Delegate Eugene Tso Chapter Region in the amount of \$800,000.00 for the Chinle Chapter; and The total amount for Chinle Chapter Delegate Region is \$ 8,802,340.00.


NOW, THEREFORE BE IT RESOLVED THAT:

The Chinle Chapter Government hereby approves the selection of Chinle Chapter House Renovation was a selected Project to be included on the Navajo Nation Council Delegate Eugene Tso Chapter Region in the amount of \$800,000.00.

CERTIFICATION

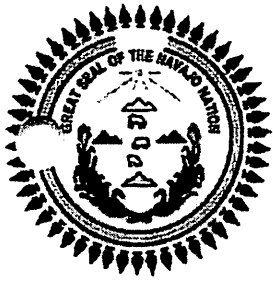
We hereby certify that the foregoing chapter resolution was duly considered by the Chinle Chapter at a duly called meeting at which time a quorum was present. A motion was made by Oscar Bia Sr. and seconded by Walter Yazzie and the same was passed by a vote of 7 in favor, 1 opposed, and 2 abstained, this 7th day of October, 2022.


Dr. Rosanna Jumbo-Fitch, President


Shawna Claw, Vice President


RoAnn Burbank, Secretary/Treasurer

Appendix D
Chinle Chapter South
Manuelito Well Traffic Study



NAVAJO NATION DEPARTMENT OF JUSTICE
OFFICE OF THE ATTORNEY GENERAL

DOREEN N. MCPAUL
Attorney General

KIMBERLY A. DUTCHER
Deputy Attorney General

DEPARTMENT OF JUSTICE
INITIAL ELIGIBILITY DETERMINATION
FOR NAVAJO NATION FISCAL RECOVERY FUNDS

RFS/HK Review #: HK0210

Date & Time Received: 11/15/22 14:34

Date & Time of Response: 11/28/22 5:00 PM

Entity Requesting FRF: Chinle Chapter Government

Title of Project: Chinle Chapter South Manuelito Well Traffic Study

Administrative Oversight: Navajo Division of Community Development

Amount of Funding Requested: \$15,000

Eligibility Determination:

- FRF eligible
 FRF ineligible
 Additional information requested

FRF Eligibility Category:

- (1) Public Health and Economic Impact
 (2) Premium Pay
 (3) Government Services/Lost Revenue
 (4) Water, Sewer, Broadband Infrastructure

U.S. Department of Treasury Reporting Expenditure Category: 2.22 Strong Healthy Communities: Neighborhood Features that Promote Health and Safety

Returned for the following reasons (Ineligibility Reasons / Paragraphs 5. E. (1) - (10) of FRF Procedures):

- | | |
|--|--|
| <input type="checkbox"/> Missing Form | <input type="checkbox"/> Expenditure Plan incomplete |
| <input type="checkbox"/> Supporting documentation missing | <input type="checkbox"/> Funds will not be obligated by 12/31/2024 |
| <input type="checkbox"/> Project will not be completed by 12/31/2026 | <input type="checkbox"/> Incorrect Signatory |
| <input type="checkbox"/> Ineligible purpose | <input type="checkbox"/> Inconsistent with applicable NN or federal laws |
| <input type="checkbox"/> Submitter failed to timely submit CARES reports | |
| <input type="checkbox"/> Additional information submitted is insufficient to make a proper determination | |

Other Comments: _____

Name of DOJ Reviewer: Kristen A. Lowell

Signature of DOJ Reviewer: *K.A. Lowell*

Disclaimers: An NNDOJ Initial Eligibility Determination will be based on the documents provided, which NNDOJ will assume are true, correct, and complete. Should the Project or Program change in any material way after the initial determination, the requestor must seek the advice of NNDOJ. An initial determination is limited to review of the Project or Program as it relates to whether the Project or Program is a legally allowable use – it does not serve as an opinion as to whether or not the Project or Program should be funded, nor does it serve as an opinion as to whether or not the amount requested is reasonable or accurate.

**THE NAVAJO NATION
FISCAL RECOVERY FUNDS REQUEST FORM & EXPENDITURE PLAN
FOR GOVERNANCE-CERTIFIED CHAPTERS**

1. Identification of parties.

Governance-Certified Chapter requesting FRF: Chinle Chapter Government Date prepared: 10-19-2022

Chapter's PO BOX 1809 phone & email: (928) 674-2052
mailing address: Chinle, AZ 86503 website (if any): chinle@navajochapters.org

This Form prepared by: Dr. Rosanna Jumbo-Fitch phone/email: (928) 225-1658
Chinle Chapter President rosanna.jumbo@naataaniil.org
CONTACT PERSON'S name and title CONTACT PERSON'S info

Title and type of Project: Chinle Chapter South Manuelito Well Traffic Study

Chapter President: Dr. Rosanna Jumbo-Fitch phone & email: (928) 225-1658/rosanna.jumbo@naataaniil.org

Chapter Vice-President: Shawna Claw phone & email: (928) 674-2052/sclaw@navajochapters.org

Chapter Secretary: Roann Burbank phone & email: (928) 674-2052/rburbank@navajochapters.org

Chapter Treasurer: Roann Burbank phone & email: (928) 674-2052/rburbank@navajochapters.org

Chapter Manager or CSC: Walton Yazzie, Manager phone & email: (505)910-9473/wyazzie@navajochapters.org

DCD/Chapter ASO: _____ phone & email: _____

types of Subcontractors or Subrecipients that will be paid with FRF (if known): Not known

document attached

Amount of FRF requested: 15,000.00 FRF funding period: 2023-2026
indicate Project starting and ending/deadline date

Part 2. Expenditure Plan details.

(a) Describe the Program(s) and/or Project(s) to be funded, including how the funds will be used, for what purposes, the location(s) to be served, and what COVID-related needs will be addressed:

Chinle Chapter Government South Manuelito Well Traffic Study Project would allow the Chinle Chapter to conduct a study on a proposed entrance off highway 191. The funds will be used to conduct a traffic feasibility study that is required by the Arizona Department of Transportation. The South Manuelito Well is located at Chinle, AZ, map attached. The COVID-19 related needs will be met, as the well provides non-potable water to our community members for cleaning purposes.

document attached

(b) Explain how the Program or Project will benefit the Navajo Nation, Navajo communities, or the Navajo People:

The Chinle Chapter South Manuelito Well Traffic Student project would benefit the Navajo Nation, Chinle community, and our Navajo people by providing a designated turn off and access point on Highway 191. Currently, the community members have to travel through an unpaved business site, the newly proposed entry point would be developed to further provide accessible access to the watering point for our community members.

document attached

(c) A prospective timeline showing the estimated date of completion of the Project and/or each phase of the Project. Disclose any challenges that may prevent you from incurring costs for all funding by December 31, 2024 and/or fully expending funds and completing the Program(s) or Project(s) by December 31, 2026:

APPENDIX A

Chinle Chapter Government South Manuelito Well Project timeline: Chinle Chapter resolution 10/17/2022, Navajo Nation and DOJ review submissions Winter 2022, Contracting Spring 2023, Traffic Study Fall 2023. Challenges would include Navajo Nation review timeline.

document attached

(d) Identify who will be responsible for implementing the Program or Project:

Chinle Chapter Government will be responsible for implementing the project and assistance.

document attached

(e) Explain who will be responsible for operations and maintenance costs for the Project once completed, and how such costs will be funded prospectively:

The Chinle Chapter Government will be responsible for operations and maintenance costs for the project once completed.

document attached

(f) State which of the 66 Fiscal Recovery Fund expenditure categories in the attached U.S. Department of the Treasury Appendix 1 listing the proposed Program or Project falls under, and explain the reason why:

Drinking water: Other water infrastructure 5.15
Chinle Chapter is seeking funding to complete a traffic feasibility study in order to complete the encroachment permit process with Arizona Department of Transportation requirements. The goal is to provide an designated entry point to the existing South Manuelito Well off Highway 191. The existing conditions are not paved or have adequate accessible access. The designated entry point will allow direct access to watering point for our community members and Chinle Chapter will be able to better monitor and secure all transactions.

document attached

Part 3: Additional documents.

List here all additional supporting documents attached to this FRF Expenditure Plan (or indicate N/A):

Chapter Resolution is attached, map, and ADOT supporting documents.

Chapter Resolution attached

Part 4. Affirmation by Funding Recipient.

Funding Recipient affirms that its receipt of Fiscal Recovery Funds and the implementation of this FRF Expenditure Plan shall be in accordance with Resolution No. CJY-41-21, the ARPA, ARPA Regulations, and with all applicable federal and Navajo Nation laws, regulations, and policies:

Chapter's Preparer: POA
Signature of Proposed CONTACT PERSON

Approved by: POA
Signature of Chapter President (or Vice-President)

Approved by: [Signature]
Signature of Chapter Manager or CSC

Approved by: _____
Signature of DCD Chapter ASD

Approved to submit for Review: [Signature] **INFRS**
Signature of DCD Director

Appendix D
Chinle Chapter Office of Diné
Youth



NAVAJO NATION DEPARTMENT OF JUSTICE
OFFICE OF THE ATTORNEY GENERAL

DOREEN N. MCPAUL
Attorney General

KIMBERLY A. DUTCHER
Deputy Attorney General

DEPARTMENT OF JUSTICE
INITIAL ELIGIBILITY DETERMINATION
FOR NAVAJO NATION FISCAL RECOVERY FUNDS

RFS/HK Review #: HK0212

Date & Time Received: 11/15/22

Date & Time of Response: 11/28/2022 5:00 PM

Entity Requesting FRF: Chinle Chapter Government

Title of Project: Chinle Chapter and Office of Dine Youth

Administrative Oversight: Chapter President - Dr. Rosanna Jumbo-Fitch

Amount of Funding Requested: \$50,000

Eligibility Determination:

- FRF eligible
 FRF ineligible
 Additional information requested

FRF Eligibility Category:

- (1) Public Health and Economic Impact
 (2) Premium Pay
 (3) Government Services/Lost Revenue
 (4) Water, Sewer, Broadband Infrastructure

U.S. Department of Treasury Reporting Expenditure Category: 2.14 (Healthy Childhood Environments: Early Learning)

Returned for the following reasons (Ineligibility Reasons / Paragraphs 5. E. (1) - (10) of FRF Procedures):

- | | |
|--|--|
| <input type="checkbox"/> Missing Form | <input type="checkbox"/> Expenditure Plan incomplete |
| <input type="checkbox"/> Supporting documentation missing | <input type="checkbox"/> Funds will not be obligated by 12/31/2024 |
| <input type="checkbox"/> Project will not be completed by 12/31/2026 | <input type="checkbox"/> Incorrect Signatory |
| <input type="checkbox"/> Ineligible purpose | <input type="checkbox"/> Inconsistent with applicable NN or federal laws |
| <input type="checkbox"/> Submitter failed to timely submit CARES reports | |
| <input type="checkbox"/> Additional information submitted is insufficient to make a proper determination | |

Other Comments: _____

Name of DOJ Reviewer: Kristen A. Lowell

Signature of DOJ Reviewer: *K.A. Lowell*

Disclaimers: This Initial Eligibility Determination is based on the documents provided which we have assumed are true, correct, and complete. Should the Project or Program change in any material way after this initial determination, the requestor must seek the advice of NNDOJ. This initial determination is limited to review of the Project or Program as it relates to whether the Project or Program is a legally allowable use – it does not serve as an opinion as to whether or not the Project or Program should be funded, nor does it serve as an opinion as to whether or not the amount requested is reasonable or accurate.

**THE NAVAJO NATION
FISCAL RECOVERY FUNDS REQUEST FORM & EXPENDITURE PLAN
FOR GOVERNANCE-CERTIFIED CHAPTERS**

Part 1. Identification of parties.

Governance-Certified Chapter requesting FRF: Chinle Chapter Government Date prepared: 10-19-2022

Chapter's mailing address: PO BOX 1809 Chinle, AZ 86503 phone & email: (928) 674-2052 website (if any): chinle@navajochapters.org

This Form prepared by: Dr. Rosanna Jumbo-Fitch phone/email: (928) 225-1658
Chinle Chapter President rosanna.jumbo@naataanii.org
CONTACT PERSON'S name and title CONTACT PERSON'S info

Title and type of Project: Chinle Chapter and Office of Dine Youth

Chapter President: Dr. Rosanna Jumbo-Fitch phone & email: (928) 225-1658/rosanna.jumbo@naataanii.org

Chapter Vice-President: Shawna Claw phone & email: (928) 674-2052/sclaw@navajochapters.org

Chapter Secretary: Roann Burbank phone & email: (928) 674-2052/rburbank@navajochapters.org

Chapter Treasurer: Roann Burbank phone & email: (928) 674-2052/rburbank@navajochapters.org

Chapter Manager or CSC: Walton Yazzie, Manager phone & email: (505)910-9473/wyazzie@navajochapters.org

DCD/Chapter ASO: _____ phone & email: _____

List types of Subcontractors or Subrecipients that will be paid with FRF (if known): Not known

document attached

Amount of FRF requested: 50,000.00 FRF funding period: 2023-2026 10/1/22-9/30/25
Indicate Project starting and ending deadline date

Part 2. Expenditure Plan details.

(a) Describe the Program(s) and/or Project(s) to be funded, including how the funds will be used, for what purposes, the location(s) to be served, and what COVID-related needs will be addressed:

Chinle Chapter Government would assist the Office of Dine Youth in securing funds to complete ODY, Chinle, AZ building upgrades. The funds will be used for a new shower installation, new 40'X9' storage building, new utility sink, and PPE materials and equipment. The Office of Dine Youth will continue to serve those that are currently assisted through the Chinle Office of Dine Youth program.

document attached

(b) Explain how the Program or Project will benefit the Navajo Nation, Navajo communities, or the Navajo People:

The Chinle Chapter and Chinle Office of Dine Youth program will benefit the Navajo Nation, surrounding Navajo communities, and Navajo people through added plumbing, added storage, and added PPE supplies.

document attached

(c) A prospective timeline showing the estimated date of completion of the Project and/or each phase of the Project. Disclose any challenges that may prevent you from incurring costs for all funding by December 31, 2024 and/or fully expending funds and completing the Program(s) or Project(s) by December 31, 2026:

Chinle Chapter Government ODY Project timeline: Chinle Chapter resolution 10/17/2022, Navajo Nation and DOJ review submissions Winter 2022, Purchases Spring 2023- Fall 2023. Construction would be an estimated 6 months. Challenges would include Navajo Nation review timeline.

document attached

(d) Identify who will be responsible for implementing the Program or Project:

Chinle Chapter Government will be responsible for implementing the project and assistance.

document attached

(e) Explain who will be responsible for operations and maintenance costs for the Project once completed, and how such costs will be funded prospectively:

The Office of Dine Youth will be responsible for operations and maintenance costs for the project once completed.

document attached

(f) State which of the 66 Fiscal Recovery Fund expenditure categories in the attached U.S. Department of the Treasury Appendix 1 listing the proposed Program or Project falls under, and explain the reason why:

Healthy Childhood Environments: Early Learning^{2.14}

Chinle Chapter is seeking funding for the Office of Dine Youth, Chinle AZ. The items include plumbing upgrades, storage additions, and overall PPE supplies.

document attached

Part 3. Additional documents.

List here all additional supporting documents attached to this FRF Expenditure Plan (or indicate N/A):

Chapter Resolution is attached, ODY budget, and ODY Manager email with clarifications on Scope of Work.

Chapter Resolution attached

Part 4. Affirmation by Funding Recipient.

Funding Recipient affirms that its receipt of Fiscal Recovery Funds and the implementation of this FRF Expenditure Plan shall be in accordance with Resolution No. CJY-41-21, the ARPA, ARPA Regulations, and with all applicable federal and Navajo Nation laws, regulations, and policies:

Chapter's Preparer: Rosanna Jumbo-Fitch
Signature of Preparer/CONTACT PERSON

Approved by: Rosanna Jumbo-Fitch
Signature of Chapter President (or Vice-President)

Approved by: [Signature]
Signature of Chapter Manager or CSC

Approved by: _____
Signature of DCD Chapter ASD

Approved to submit for Review: Pisa Jymun. NNFRFO
Signature of DCD Director

Chinle Chapter Government

THE NAVAJO NATION

Dr. Rosanna Jumbo-Fitch
PRESIDENT

Shawna Claw
VICE PRESIDENT

RoAnn Burbank
SECRETARY/TREASURER

Eugene Tso
COUNCIL DELEGATE

Oscar Bia
GRAZING COMMITTEE MEMBER

RESOLUTION OF THE CHINLE CHAPTER NAVAJO NATION CHIN-OCT-22-083

APPROVING THE SELECTION OF THE CHAPTER OFFICE OF DINE YOUTH PROJECT FOR THE INCLUSION ON THE CHINLE CHAPTER DELEGATE REGION IN THE AMOUNT OF \$50,000.00.

WHEREAS:

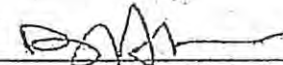
1. Pursuant to Navajo Nation Code, Section 4001 (d) and 4028 (2), (b) the Chinle Chapter is established and certified as a local government entity of the Navajo Nation, vested with the authority to review all matters affecting the chapter and submit appropriate recommendations to the Navajo Nation government of other local agencies by resolutions; and
2. To support the efforts of the Navajo Nation to mitigate the effects of the COVID-19 Pandemic, the American Rescue Plan Act (ARPA) Fiscal Recovery Funds were allocated to develop the basic infrastructure to improve lives of people who have lived without water, electricity and "basic services to support their daily activities, health, and welfare"; and
3. The Navajo Nation Council approved CHIN-22-22, in response to the COVID-19 Pandemic in the best interest of the people: "An Action Relating to the Naabik'iyati Committee and Navajo Nation Council; Allocating \$1,070,298,867 of Navajo Nation Fiscal Recovery Funds; Approving the Navajo Nation Fiscal Recovery Fund Expenditure Plans for: Chapter Assistance; Public Safety Emergency Communications; E911; and Rural Addressing Projects; Cyber Security; Public Health Projects; Economic Development Projects; Hardship Assistance; Water and Wastewater Projects; Broadband Projects; Home Electricity Connection and Electricity Capacity Projects; Housing Projects and Manufactured Housing Facilities; Bathroom Addition Projects; Construction Contingency Funding; and Reduced Administrative Funding"; and
4. The Chinle Chapter Government has attended several meetings with Navajo Nation Division of Community Development, Navajo Tribal Utility Authority, and the Fiscal Recovery Fund Office; and
5. The eligible attached Exhibit: Chinle Chapter Office of Dine Youth was selected as a Project to be included on the Navajo Nation Council Delegate Eugene Tso Chapter Region in the amount of \$50,000:00 for the Chinle Chapter; and
6. The total amount for Chinle Chapter Delegate Region is \$8,502,340.00.

NOW, THEREFORE BE IT RESOLVED THAT:


1. The Chinle Chapter Government hereby approves the selection of Chinle Chapter Office of Dine Youth was a selected Project to be included on the Navajo Nation Council Delegate Eugene Tso Chapter Region in the amount of \$50,000.00.

CERTIFICATION

We hereby certify that the foregoing chapter resolution was duly considered by the Chinle Chapter at a duly called meeting at which time a quorum was present. A motion was made by Oscar Bia Sr. and seconded by Walton Yazzie and the same was passed by a vote of 7 in favor, 0 opposed, and 3 abstained, this 17th day of October, 2022.



Rosanna Jumbo-Fitch, President



Shawna Claw, Vice Presidents



RoAnn Burbank, Secretary/Treasurer

PO Box 1809 Chinle, Arizona
86503

• P: (928) 674-2052 • F: (928) 674-2079 • chinle@navajochapters.org

Appendix D
Chinle Chapter Warehouse



**NAVAJO NATION DEPARTMENT OF JUSTICE
OFFICE OF THE ATTORNEY GENERAL**

DOREEN N. MCPAUL
Attorney General

KIMBERLY A. DUTCHER
Deputy Attorney General

**DEPARTMENT OF JUSTICE
INITIAL ELIGIBILITY DETERMINATION
FOR NAVAJO NATION FISCAL RECOVERY FUNDS**

RFS/HK Review #: HK0270

Date & Time Received: 12/6/2022 at 10:00

Date & Time of Response: 12/12/2022 5:00 PM

Entity Requesting FRF: Chinle Chapter Government

Title of Project: Chinle Chapter Warehouse

Administrative Oversight: Division of Community Services

Amount of Funding Requested: \$1,200,000

Eligibility Determination:

- FRF eligible
 FRF ineligible
 Additional information requested

FRF Eligibility Category:

- (1) Public Health and Economic Impact (2) Premium Pay
 (3) Government Services/Lost Revenue (4) Water, Sewer, Broadband Infrastructure


U.S. Department of Treasury Reporting Expenditure Category: 6.1, Provision of Government Services

Returned for the following reasons (Ineligibility Reasons / Paragraphs 5. E: (1) - (10) of FRF Procedures):

- | | |
|--|--|
| <input type="checkbox"/> Missing Form | <input type="checkbox"/> Expenditure Plan incomplete |
| <input type="checkbox"/> Supporting documentation missing | <input type="checkbox"/> Funds will not be obligated by 12/31/2024 |
| <input type="checkbox"/> Project will not be completed by 12/31/2026 | <input type="checkbox"/> Incorrect Signatory |
| <input type="checkbox"/> Ineligible purpose | <input type="checkbox"/> Inconsistent with applicable NN or federal laws |
| <input type="checkbox"/> Submitter failed to timely submit CARES reports | |
| <input type="checkbox"/> Additional information submitted is insufficient to make a proper determination | |

Other Comments: _____

Name of DOJ Reviewer: MacArthur Stant

Signature of DOJ Reviewer: 

Disclaimers: This Initial Eligibility Determination is based on the documents provided which we have assumed are true, correct, and complete. Should the Project or Program change in any material way after this initial determination, the requestor must seek the advice of NNDOJ. This initial determination is limited to review of the Project or Program as it relates to whether the Project or Program is a legally allowable use – it does not serve as an opinion as to whether or not the Project or Program should be funded, nor does it serve as an opinion as to whether or not the amount requested is reasonable or accurate.

**THE NAVAJO NATION
FISCAL RECOVERY FUNDS REQUEST FORM & EXPENDITURE PLAN
FOR GOVERNANCE-CERTIFIED CHAPTERS**

1. Identification of parties.

Governance-Certified Chapter requesting FRF: Chinle Chapter Government Date prepared: 10-19-2022

Chapter's mailing address: PO BOX 1809 Chinle, AZ 86503 phone & email: (928) 674-2052
website (if any): chinle@navajochapters.org

This Form prepared by: Dr. Rosanna Jumbo-Fitch phone/email: (928) 225-1658
Chinle Chapter President CONTACT PERSON'S name and title rosanna.jumbo@naataanii.org CONTACT PERSON'S info

Title and type of Project: Chinle Chapter Warehouse

Chapter President: Dr. Rosanna Jumbo-Fitch phone & email: (928) 225-1658/rosanna.jumbo@naataanii.org

Chapter Vice-President: Shawna Claw phone & email: (928) 674-2052/sclaw@navajochapters.org

Chapter Secretary: Roann Burbank phone & email: (928) 674-2052/rburbank@navajochapters.org

Chapter Treasurer: Roann Burbank phone & email: (928) 674-2052/rburbank@navajochapters.org

Chapter Manager or CSC: Walton Yazzie, Manager phone & email: (505)910-9473/wyazzie@navajochapters.org

DCD/Chapter ASO: _____ phone & email: _____

Types of Subcontractors or Subrecipients that will be paid with FRF (if known): Not known; proposal for estimate is attached.
 document attached

Amount of FRF requested: 1,200,000.00 FRF funding period: 2023-2025
Indicate Project starting and ending/deadline date

Part 2. Expenditure Plan details.

(a) Describe the Program(s) and/or Project(s) to be funded, including how the funds will be used, for what purposes, the location(s) to be served, and what COVID-related needs will be addressed:

Chinle Chapter Government Warehouse Project includes construction of a new warehouse. The funds will be used to prepare the project site, purchase a building, and the construction of the building. The warehouse will be located on the Chinle Chapter counpound. The proposed use of the warehouse is to assist our community members with their health, safety, and welfare concerns: to house construction materials for community (bathroom) projects, heavy equipment storage, firewood storage, hay and grain storage, tool and equipment storage, refrigeration section for community food supply, and COVID-19 materials (masks, hand sanitizer) storage. document attached

(b) Explain how the Program or Project will benefit the Navajo Nation, Navajo communities, or the Navajo People:

The Chinle Chapter Government Warehouse Project would benefit the Navajo Nation, Chinle community, and our Navajo people by providing solutions for any emergency response for the Chinle Chapter and surrounding communities. The proposed warehouse would be able to properly store, organize, and distribute materials and supplies to our community members. document attached

(c) A prospective timeline showing the estimated date of completion of the Project and/or each phase of the Project. Disclose any challenges that may prevent you from incurring costs for all funding by December 31, 2024 and/or fully expending funds and completing the Program(s) or Project(s) by December 31, 2026:

APPENDIX A

Chinle Chapter Government Warehouse timeline: Chinle Chapter resolution 10/17/22, Navajo Nation and DOJ review submissions Winter 2022, Funding/Proposals Spring 2023, Contract Award Summer 2023, Construction Fall 2023-Winter 2023. Challenges would include Navajo Nation review timeline.

document attached

(d) Identify who will be responsible for implementing the Program or Project:

Chinle Chapter Government will be responsible for implementing the project.

document attached

(e) Explain who will be responsible for operations and maintenance costs for the Project once completed, and how such costs will be funded prospectively:

Chinle Chapter Government will be responsible for operations and maintenance costs for the project once completed.

document attached

(f) State which of the 66 Fiscal Recovery Fund expenditure categories in the attached U.S. Department of the Treasury Appendix 1 listing the proposed Program or Project falls under, and explain the reason why.

Aid to Tourism, Travel, or Hospitality^ 2.35

Chinle Chapter has been the centralized Point of Distribution (POD) during the height of the COVID-19 pandemic; serving surrounding communities supplies (hand sanitizer, masks, disinfecting supplies, food, water, and other necessities). During this time, Chinle Chapter stored all materials and supplies in the Chinle Chapter house and storage was limited to the Chapter house room. In serving over 10,000 community members, the Chapter needs a organized and safe space to organize and distribute supplies. This would require additional building space, in which, the community will be able to access store supplies and materials for their households.

document attached

Part 3. Additional documents.

List here all additional supporting documents attached to this FRF Expenditure Plan (or indicate N/A):

Chapter Resolution is attached, Warehouse location map, Proposal of building, Previous 2021 supporting resolution, Previous 2021 supporting documents.

Chapter Resolution attached

Part 4. Affirmation by Funding Recipient.

Funding Recipient affirms that its receipt of Fiscal Recovery Funds and the implementation of this FRF Expenditure Plan shall be in accordance with Resolution No. CJY-41-21, the ARPA, ARPA Regulations, and with all applicable federal and Navajo Nation laws, regulations, and policies:

Chapter's Preparer: POVA
signature of Preparer/CONTACT PERSON

Approved by: POVA
signature of Chapter President (or Vice President)

Approved by: W...
signature of Chapter Manager or CSB

Approved by: _____
signature of DCD/Chapter ASO

Approved to submit for Review: S...
signature of DCD Director

Chinle Chapter Government

THE NAVAJO NATION

Dr. Rosanna Jumbo-Fitch
PRESIDENT

Shawna Claw
VICE PRESIDENT

RoAnn Burbank
SECRETARY TREASURER

Eugene Tso
COUNCIL DELEGATE

Oscar Bia
GRAZING COMMITTEE MEMBER

RESOLUTION OF THE CHINLE CHAPTER NAVAJO NATION CHIN-OCT-22-070

APPROVING THE SELECTION OF THE WAREHOUSE PROJECT FOR THE INCLUSION ON THE
CHINLE CHAPTER DELEGATE REGION IN THE AMOUNT OF \$1,200,000.00.

WHEREAS:

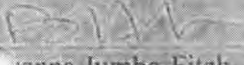
Pursuant to Navajo Nation Code, Section 4001 (d) and 4028 (2), (b) the Chinle Chapter is established and certified as a local government entity of the Navajo Nation vested with the authority to review all matters affecting the chapter and submit appropriate recommendations to the Navajo Nation government of other local agencies by resolutions; and To support the efforts of the Navajo Nation to mitigate the effects of the COVID-19 Pandemic, the American Rescue Plan Act (ARPA) Fiscal Recovery Funds were allocated to develop the basic infrastructure to improve lives of people who have lived without water, electricity and "basic services to support their daily activities, health, and welfare"; and The Navajo Nation Council approved CJN-29-22, in response to the COVID-19 Pandemic in the best interest of the people: "An Action Relating to the Naabik'iyati' Committee and Navajo Nation Council; Allocating \$1,070,298,867 of Navajo Nation Fiscal Recovery Funds; Approving the Navajo Nation Fiscal Recovery Fund Expenditure Plans for: Chapter Assistance; Public Safety Emergency Communications, E911, and Rural Addressing Projects; Cyber Security; Public Health Projects; Economic Development Projects; Hardship Assistance; Water and Wastewater Projects; Broadband Projects; Home Electricity Connection and Electricity Capacity Projects; Housing Projects and Manufactured Housing Facilities; Bathroom Addition Projects; Construction Contingency Funding; and Reduced Administrative Funding"; and The Chinle Chapter Government has attended several meetings with Navajo Nation Division of Community Development, Navajo Tribal Utility Authority, and the Fiscal Recovery Fund Office; and The eligible attached Exhibit: Chinle Chapter Warehouse was selected as a Project to be included on the Navajo Nation Council Delegate Eugene Tso Chapter Region in the amount of \$1,200,000.00 for the Chinle Chapter Government; and The total amount for Chinle Chapter Delegate Region is \$ 8,802,340.00

NOW, THEREFORE BE IT RESOLVED THAT:


The Chinle Chapter Government hereby approves the selection of Chinle Chapter Warehouse as a selected Project to be included on the Navajo Nation Council Delegate Eugene Tso Chapter Region in the amount of \$1,200,000.00.

CERTIFICATION

We hereby certify that the foregoing chapter resolution was duly considered by the Chinle Chapter at a duly called meeting at which time a quorum was present. A motion was made by Pamela Bia and seconded by Yron Moughli and the same was passed by a vote of 8 in favor, 1 opposed, and 1 abstained, this 7th day of October, 2022.

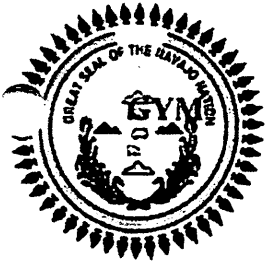

Dr. Rosanna Jumbo-Fitch, President


Shawna Claw, Vice President


RoAnn Burbank, Secretary/Treasurer

Appendix D

Chinle Chapter Wellness Center



NAVAJO NATION DEPARTMENT OF JUSTICE
OFFICE OF THE ATTORNEY GENERAL

DOREEN N. MCPAUL
Attorney General

KIMBERLY A. DUTCHER
Deputy Attorney General

DEPARTMENT OF JUSTICE
INITIAL ELIGIBILITY DETERMINATION
FOR NAVAJO NATION FISCAL RECOVERY FUNDS

RFS/HK Review #: HK0269

Date & Time Received: 12/06/22 10:56

Date & Time of Response: 13 December, 2022; 1:22 pm

Entity Requesting FRF: Chinle Chapter Government

Title of Project: Chinle Chapter Wellness Center

Administrative Oversight: Division of Community Development

Amount of Funding Requested: \$750,000.00

Eligibility Determination:

- FRF eligible
 FRF ineligible
 Additional information requested

FRF Eligibility Category:

- (1) Public Health and Economic Impact (2) Premium Pay
 (3) Government Services/Lost Revenue (4) Water, Sewer, Broadband Infrastructure

U.S. Department of Treasury Reporting Expenditure Category: 2.22 Strong
Healthy Communities: Neighborhood Features that Promote Health and Safety

Returned for the following reasons (Ineligibility Reasons / Paragraphs 5. E. (1) - (10) of FRF Procedures):

- | | |
|--|--|
| <input type="checkbox"/> Missing Form | <input type="checkbox"/> Expenditure Plan incomplete |
| <input type="checkbox"/> Supporting documentation missing | <input type="checkbox"/> Funds will not be obligated by 12/31/2024 |
| <input type="checkbox"/> Project will not be completed by 12/31/2026 | <input type="checkbox"/> Incorrect Signatory |
| <input type="checkbox"/> Ineligible purpose | <input type="checkbox"/> Inconsistent with applicable NN or federal laws |
| <input type="checkbox"/> Submitter failed to timely submit CARES reports | |
| <input type="checkbox"/> Additional information submitted is insufficient to make a proper determination | |

Other Comments: _____

Name of DOJ Reviewer: Adjua Adjei-Danso

Signature of DOJ Reviewer:  _____

Disclaimers: An NNDOJ Initial Eligibility Determination will be based on the documents provided, which NNDOJ will assume are true, correct, and complete. Should the Project or Program change in any material way after the initial determination, the requestor must seek the advice of NNDOJ. An initial determination is limited to review of the Project or Program as it relates to whether the Project or Program is a legally allowable use – it does not serve as an opinion as to whether or not the Project or Program should be funded, nor does it serve as an opinion as to whether or not the amount requested is reasonable or accurate.

**THE NAVAJO NATION
FISCAL RECOVERY FUNDS REQUEST FORM & EXPENDITURE PLAN
FOR GOVERNANCE-CERTIFIED CHAPTERS**

Part 1. Identification of parties;

Governance-Certified Chapter requesting FRF: Chinle Chapter Government Date prepared: 10-19-2022

Chapter's mailing address: PO BOX 1809 Chinle, AZ 86503 phone & email: (928) 674-2052
website (if any): chinle@navajochapters.org

This Form prepared by: Dr. Rosanna Jumbo-Fitch phone/email: (928) 225-1658
Chinle Chapter President CONTACT PERSON'S name and title rosanna.jumbo@naataanii.org CONTACT PERSON'S title

Title and type of Project: Chinle Chapter Wellness Center

Chapter President: Dr. Rosanna Jumbo-Fitch phone & email: (928) 225-1658/rosanna.jumbo@naataanii.org

Chapter Vice-President: Shawna Claw phone & email: (928) 674-2052/sclaw@navajochapters.org

Chapter Secretary: Roann Burbank phone & email: (928) 674-2052/rburbank@navajochapters.org

Chapter Treasurer: Roann Burbank phone & email: (928) 674-2052/rburbank@navajochapters.org

Chapter Manager or CSC: Walton Yazzie, Manager phone & email: (505)910-9473/wyazzie@navajochapters.org

DCD/Chapter ASO: _____ phone & email: _____

List types of Subcontractors or Subrecipients that will be paid with FRF (if known): Not known, proposal for estimate is attached.

document attached

Amount of FRF requested: 750,000.00 FRF funding period: 2023-2025
Indicate Project starting and ending dates and date

Part 2. Expenditure Plan details.

(a) Describe the Program(s) and/or Project(s) to be funded, including how the funds will be used, for what purposes, the location(s) to be served, and what COVID-related needs will be addressed:

Chinle Chapter Government Wellness Center Project includes construction of a new building. The funds will be used to prepare the project site, purchase a building, and the construction of the building. The wellness center will be located on the Chinle Chapter compound. The proposed use of the wellness center is to assist our community members with their health and welfare. Many of our community members have been physically and mentally affected by the COVID-19 pandemic and most are requiring physical fitness exercises, trainings, and overall physical awareness.

document attached

(b) Explain how the Program or Project will benefit the Navajo Nation, Navajo communities, or the Navajo People:

The Chinle Chapter Government Wellness Center Project would benefit the Navajo Nation, Chinle community, and our Navajo people by providing solutions for physical fitness needs for the Chinle Chapter and surrounding communities. The project would also benefit Chinle hospital physical fitness needs. Data (attached) has been compiled from wellness centers: participant numbers, program details, accessibility requirements, and overall wellness needs of the Chinle Chapter community.

document attached

(c) A prospective timeline showing the estimated date of completion of the Project and/or each phase of the Project. Disclose any challenges that may prevent you from incurring costs for all funding by December 31, 2024 and/or fully expending funds and completing the Program(s) or Project(s) by December 31, 2026:

APPENDIX A

Chinle Chapter Government Wellness Center Project timeline: Chinle Chapter resolution 10/17/22, Navajo Nation and DOJ review submissions Winter 2022, Funding/Proposals Spring 2023, Contract Award Summer 2023, Construction Fall 2023-Spring 2024. Challenges would include Navajo Nation review timeline.

document attached

(d) Identify who will be responsible for implementing the Program or Project:

Chinle Chapter Government will be responsible for implementing the project.

document attached

(e) Explain who will be responsible for operations and maintenance costs for the Project once completed, and how such costs will be funded prospectively:

Chinle Chapter Government will be responsible for operations and maintenance costs for the project once completed.

document attached

(f) State which of the 66 Fiscal Recovery Fund expenditure categories in the attached U.S. Department of the Treasury Appendix 1 listing the proposed Program or Project falls under, and explain the reason why:

Social Determinants of Health: Other[^] - 3.13

Chinle Chapter is seeking ARPA funding opportunities and support for a large recreational facility, so Chinle Service Unit and Chinle Chapter community members will have a place for physical activity. This project is categorized as health and safety for our community members. Our goal in working collaboratively is to prevent diabetes and other chronic diseases through physical activity, nutritional education, and offering evidence-based programs, and overall a healthier lifestyle for our community members.

document attached

Part 3. Additional documents.



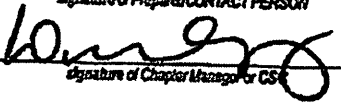
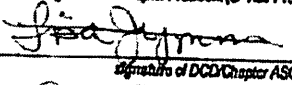

List here all additional supporting documents attached to this FRF Expenditure Plan (or indicate N/A):

Chapter Resolution is attached, map of building location, proposal of building, previous resolution 2021, previous wellness center application 2021, previous wellness center supporting documents 2021.

Chapter Resolution attached

Part 4. Affirmation by Funding Recipient.

Funding Recipient affirms that its receipt of Fiscal Recovery Funds and the implementation of this FRF Expenditure Plan shall be in accordance with Resolution No. CJY-41-21, the ARPA, ARPA Regulations, and with all applicable federal and Navajo Nation laws, regulations, and policies:

Chapter's Preparer:  signature of Preparer/CONTACT PERSON
Approved by:  signature of Chapter President (or Vice-President)
Approved by:  signature of Chapter Manager or CS
Approved by:  signature of DCD Chapter ASO
Approved to submit for Review:  signature of DCO Director

Chinle Chapter Government

THE NAVAJO NATION

Dr. Rosanna Jumbo-Fitch
PRESIDENT

Shawna Claw
VICE PRESIDENT

RoAnn Burbank
SECRETARY/TREASURER

Eugene Tso
COUNCIL DELEGATE

Oscar Bia
GRAZING COMMITTEE MEMBER

RESOLUTION OF THE CHINLE CHAPTER NAVAJO NATION CHIN-OCT-22-071

APPROVING THE SELECTION OF THE WELLNESS CENTER PROJECT FOR THE INCLUSION ON THE CHINLE CHAPTER DELEGATE REGION IN THE AMOUNT OF \$750,000.00.

WHEREAS:


1. Pursuant to Navajo Nation Code, Section 4001 (d) and 4028 (2), (b) the Chinle Chapter is established and certified as a local government entity of the Navajo Nation, vested with the authority to review all matters affecting the chapter and submit appropriate recommendations to the Navajo Nation government of other local agencies by resolutions; and
2. To support the efforts of the Navajo Nation to mitigate the effects of the COVID-19 Pandemic, the American Rescue Plan Act (ARPA) Fiscal Recovery Funds were allocated to develop the basic infrastructure to improve lives of people who have lived without water, electricity and basic services to support their daily activities, health, and welfare"; and
3. The Navajo Nation Council approved CJN-29-22, in response to the COVID-19 Pandemic in the best interest of the people: "An Action Relating to the Naabik'iyati' Committee and Navajo Nation Council; Allocating \$1,070,298,867 of Navajo Nation Fiscal Recovery Funds; Approving the Navajo Nation Fiscal Recovery Fund Expenditure Plans for: Chapter Assistance; Public Safety Emergency Communications, E911, and Rural Addressing Projects; Cyber Security; Public Health Projects; Economic Development Project; Hardship Assistance; Water and Wastewater Projects; Broadband Projects; Home Electrical Connection and Electricity Capacity Projects; Housing Projects and Manufactured Housing Facilities; Bathroom Addition Projects; Construction Contingency Funding; and Reduced Administrative Funding"; and
4. The Chinle Chapter Government has attended several meetings with Navajo Nation Division of Community Development, Navajo Tribal Utility Authority, and the Fiscal Recovery Fund Office; and
5. The eligible attached Exhibit: Chinle Chapter Wellness Center was selected as a Project to be included on the Navajo Nation Council Delegate Eugene Tso Chapter Region in the amount of \$750,000.00 for the Chinle Chapter; and
6. The total amount for Chinle Chapter Delegate Region is \$8,302,340.00.


NOW, THEREFORE BE IT RESOLVED THAT:


1. The Chinle Chapter Government hereby approves the selection of Chinle Chapter Wellness Center as a selected Project to be included on the Navajo Nation Council Delegate Eugene Tso Chapter Region in the amount of \$750,000.00.

CERTIFICATION

We hereby certify that the foregoing chapter resolution was duly considered by the Chinle Chapter at a duly called meeting at which time a quorum was present. A motion was made by Pamela Bia and seconded by Myron Melanachuk and the same was passed by a vote of 8 in favor, 1 opposed, and 1 abstained, this 17th day of October, 2022.


Dr. Rosanna Jumbo-Fitch, President


Shawna Claw, Vice President


RoAnn Burbank, Secretary/Treasurer

PO Box 1809 Chinle, Arizona
86503

• P: (928) 674-2052 • F: 928, 674-2079 • chinle@navajochapters.org

Appendix E

Council Resolution

Approving

Expenditure Plan

THE NAVAJO NATION



JONATHAN NEZ | PRESIDENT MYRON LIZER | VICE PRESIDENT

January 6, 2023

Hon. Otto Tso
Office of the Speaker
Post Office Box 3390
Window Rock, AZ 86515

RE: CD-70-22, *An Action Relating to the Naabik 'iyáti' Committee, and the Navajo Nation Council; Approving the Navajo Nation Fiscal Recovery Fund Delegate Region Project Plan for Honorable Eugene Tso's Delegate Region (Chapter: Chinle)*

Dear Speaker Tso,

The Nez/Lizer Administration supports the Chapters' endeavors to work collaboratively with their respective Council Delegate in completing the process to access funding made available with the \$211,256,148 allocated for regional expenditure plans under CJN-29-22.

The process to secure funding also involves collaborative efforts between the Chapters, the Division of Community Development, Navajo Nation Fiscal Recovery Fund (NNFRF) Office and the Navajo Nation Department of Justice (NNDJ). Per BFS-31-21, each proposed expenditure must obtain NNDJ verification that each proposed project is an eligible expense within ARPA/NNFRF regulations. Each of the projects within CD-70-22 has met all the requirements.

The ARPA/NNFRF process is still evolving since the inception of this funding. Within the United States Treasury and the Navajo Nation, processes have been updated at various times. An example is the Treasury guidelines referenced within Navajo Nation Council resolutions CJY-41-21 and CJN-29-22; the Treasury guidelines exhibit was updated by the United States Treasury on September 20, 2022. Accordingly, the legal guidance provided by NNDJ and Office of Legislative Counsel is modified to comply with the Treasury guidelines.

One such modification of legal guidance involved the processing of regional expenditure plans. Originally, the guidance was that all projects had to equal \$8,802,340 to be considered as completed and ready for legislative action. This guidance was modified in December 2022 to allow partial funding of the \$8,802,340 allocations so that proposed ARPA/NNFRF projects ready for legislative action could be processed by Office of Legislative Counsel. Because of the time constraints for the 24th Navajo Nation Council to act on proposed legislation, programs did not have sufficient time to provide written verification to Chapters regarding the change in legal guidance.

Pursuant to the authority vested in the Navajo Nation President, I am signing Resolution CD-70-22 into law.

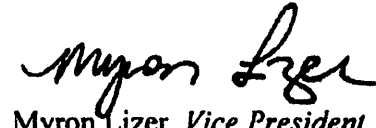
THE NAVAJO NATION

JONATHAN NEZ | PRESIDENT MYRON LIZER | VICE PRESIDENT



Sincerely,


Jonathan Nez, *President*
THE NAVAJO NATION


Myron Lizer, *Vice President*
THE NAVAJO NATION

**RESOLUTION OF THE
NAVAJO NATION COUNCIL
24th NAVAJO NATION COUNCIL - FOURTH YEAR, 2022**

AN ACTION

**RELATING TO THE NAABIK'ÍYÁTI' COMMITTEE AND NAVAJO NATION COUNCIL;
APPROVING THE NAVAJO NATION FISCAL RECOVERY FUND DELEGATE REGION
PROJECT PLAN FOR HONORABLE EUGENE TSO'S DELEGATE REGION (CHAPTER:
CHINLE)**

BE IT ENACTED:

SECTION ONE. AUTHORITY

- A. The Navajo Nation Council is the governing body of the Navajo Nation. 2 N.N.C. § 102(A).
- B. The Naabik'íyáti' Committee is a standing committee of the Navajo Nation Council with the delegated responsibility to hear proposed resolution(s) that require final action by the Navajo Nation Council. 2 N.N.C. § 164(A)(9).
- C. Navajo Nation Council Resolution No. CJN-29-22, incorporated herein by reference, mandates that Navajo Nation Fiscal Recovery Fund ("NNFRF") Delegate Region Project Plans be approved by Navajo Nation Council resolution and signed into law by the President of the Navajo Nation pursuant to 2 N.N.C. § 164(A) and 2 N.N.C. §§ 1005(C)(10), (11), and (12).

SECTION TWO. FINDINGS

- A. Navajo Nation Council Resolution No. CJN-29-22, AN ACTION RELATING TO THE NAABIK'ÍYÁTI' COMMITTEE AND NAVAJO NATION COUNCIL; ALLOCATING \$1,070,298,867 OF NAVAJO NATION FISCAL RECOVERY FUNDS; APPROVING THE NAVAJO NATION FISCAL RECOVERY FUND EXPENDITURE PLANS FOR: CHAPTER AND REGIONAL PROJECTS; PUBLIC SAFETY EMERGENCY COMMUNICATIONS, E911, AND RURAL ADDRESSING PROJECTS; CYBER SECURITY; PUBLIC HEALTH PROJECTS; HARDSHIP ASSISTANCE; WATER AND WASTEWATER PROJECTS; BROADBAND PROJECTS; HOME ELECTRICITY CONNECTION AND ELECTRIC CAPACITY PROJECTS; HOUSING PROJECTS AND MANUFACTURED HOUSING FACILITIES; BATHROOM ADDITION PROJECTS; CONSTRUCTION CONTINGENCY FUNDING; AND REDUCED ADMINISTRATIVE FUNDING, was signed into law by the President of the Navajo Nation on July 15, 2022.

B. CJN-29-22, Section Three, states, in part and among other things, that:

1. The Navajo Nation hereby approves total funding for the NNFRF Chapter and Chapter Projects Expenditure Plan from the Navajo Nation Fiscal Recovery Fund in the total amount of two hundred eleven million two hundred fifty-six thousand one hundred forty-eight dollars (\$211,256,148) to be divided equally between the twenty-four (24) Delegate Regions in the amount of eight million eight hundred two thousand three hundred forty dollars (\$8,802,340) per Delegate Region . . . and allocated through Delegate Region Project Plans approved by Navajo Nation Council resolution and signed into law by the President of the Navajo Nation See CJN-29-22, Section Three (B).
2. The Delegate Region Project Plan funding will be allocated to the Navajo Nation Central Government, specifically the Division of Community Development or other appropriate Navajo Nation Division or Department, to implement the projects rather than directly to the Chapters. See CJN-29-22, Section Three (D).
3. The Navajo Nation Central Government, specifically the Division of Community Development or other appropriate Navajo Nation Division or Department, shall manage and administer funds and Delegate Region Project Plans on behalf of Non-LGA-Certified Chapters. The Navajo Nation Central Government may award funding to LGA-Certified Chapters through sub-recipient agreements to implement and manage specific projects, but shall maintain Administrative Oversight over such funding and Delegate Region Project Plans. See CJN-29-22, Section Three (E).
4. Each Navajo Nation Council delegate shall select Fiscal Recovery Fund eligible projects within their Delegate Region to be funded by the NNFRF Chapter and Regional Projects Expenditure Plan through a Delegate Region Projects Plan. The total cost of projects selected by each Delegate shall not exceed their Delegate Region distribution of eight million eight hundred two thousand three hundred forty dollars (\$8,802,340). See CJN-29-22, Section Three (F).
5. Each Delegate Region Project shall identify its Administrative Oversight entity and its Oversight Committee(s) and be subject CJY-41-21's NNDOJ initial eligibility determination. See CJN-29-22, Section Three (L) (5) and (L) (6).

- C. All projects listed in the Hon. Eugene Tso's Delegate Region Projects Plan, attached as Exhibit A, have been deemed Fiscal Recovery Fund eligible by NNDOJ. In addition, Hon. Eugene Tso's Delegate Region Projects Plan does not exceed the amount of \$8,802,340, as set forth in CJN-29-22, Section Three (F).
- D. The Navajo Nation Council hereby finds that it is in the best interest of the Navajo Nation and the Hon. Eugene Tso's Delegate Region Chapters and communities to approve and adopt the Navajo Nation Fiscal Recovery Fund Delegate Region Project Plan for Hon. Eugene Tso's Delegate Region (Chapter: Chinle) as set forth in Exhibit A.

SECTION THREE. APPROVAL OF HON. EUGENE TSO'S DELEGATE REGION PROJECT PLAN

- A. The Navajo Nation hereby approves the Fiscal Recovery Fund Delegate Region Project Plan for Hon. Eugene Tso's Delegate Region (Chapter: Chinle) set forth in Exhibit A.
- B. The Delegate Region Project Plan approved herein shall comply with all applicable provisions of CJY-41-21, CJN-29-22, and BFS-31-21.
- C. Any inconsistencies between this legislation, the Delegate Region Project Plan, and the individual project appendix, shall be resolved in favor of the project appendix reviewed by Department of Justice during their eligibility determination(s).

SECTION FOUR. AMENDMENTS

Amendments to this legislation or to the Delegate Region Project Plan approved herein shall only be adopted by resolution of the Navajo Nation Council and approval of the President of the Navajo Nation pursuant to 2 N.N.C. § 164(A)(17) and 2 N.N.C. §§ 1005(C)(10), (11), and (12).

SECTION FIVE. EFFECTIVE DATE

This legislation shall be effective upon its approval pursuant to 2 N.N.C. § 221(B), 2 N.N.C. § 164(A)(17), and 2 N.N.C. §§ 1005(C)(10), (11), and (12).

SECTION SIX. SAVING CLAUSE

If any provision of this legislation is determined invalid by the Navajo Nation Supreme Court, or by a Navajo Nation District Court without appeal to the Navajo Nation Supreme Court, those provisions

of this legislation not determined invalid shall remain the law of the Navajo Nation.

CERTIFICATION

I hereby certify that the foregoing resolution was duly considered by the 24th Navajo Nation Council at a duly called meeting in Window Rock, Navajo Nation (Arizona), at which a quorum was present and that the same was passed by a vote of 21 in Favor, and 00 Opposed, on this 29th day of December 2022.


Honorable Otto Tso, Speaker
24th Navajo Nation Council

12.30.2022

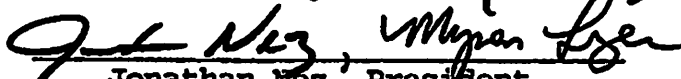
DATE

Motion: Honorable Jamie Henio
Second: Honorable Eugene Tso

Speaker Otto Tso not voting

ACTION BY THE NAVAJO NATION PRESIDENT:

1. I, hereby, sign into law the foregoing legislation, pursuant to 2 N.N.C. § 1005 (C) (10), on this 10th day of January, 2023.


Jonathan Nez, President
Navajo Nation

2. I, hereby, veto the foregoing legislation, pursuant to 2 N.N.C. § 1005 (C) (11), on this _____ day of _____, 2022 for the reason(s) expressed in the attached letter to the Speaker.

Jonathan Nez, President
Navajo Nation

3. I, hereby, exercise line-item veto pursuant to the budget line-item veto authority delegated to the President by vote of the Navajo People in 2009, on this _____ day of _____, 2022.

Jonathan Nez, President
Navajo Nation

NAVAJO NATION FISCAL RECOVERY FUND DELEGATE REGION PROJECT PLAN



COUNCIL DELEGATE: Delegate Eugene Tso

CHAPTERS: Chinle

FUNDING RECIPIENT	SUBRECIPIENT	EXPENDITURE PLAN / PROJECT	ADMIN OVERSIGHT	FRF CATEGORY	DOJ REVIEW #	AMOUNT
Division of Community Development	*Chinle Chapter	Chinle Chapter Bathroom Additions Project	Division of Community Development	1.14	HK0207	\$ 1,725,000.00
Division of Community Development	*Chinle Chapter	Chinle Chapter Earth and Dam Project	Division of Community Development	2.22	HK0208	\$ 1,997,153.38
Division of Community Development	*Chinle Chapter	Chinle Chapter House Renovation Project	Division of Community Development	2.22	HK0209	\$ 800,000.00
Division of Community Development	*Chinle Chapter	Chinle Chapter South Manuelito Well Traffic Study	Division of Community Development	2.22	HK0210	\$ 15,000.00
Division of Community Development	*Chinle Chapter	Chinle Chapter Vendor Village Project	Rosanna Jumbo-Fitch, Chapter President	2.22	HK0211	\$ 37,743.62
Division of Community Development	*Chinle Chapter	Chinle Chapter and Office of Dine Youth	Rosanna Jumbo-Fitch, Chapter President	2.14	HK0212	\$ 50,000.00
Division of Community Development	*Chinle Chapter	Chinle Chapter CYEP and PEP Funding	Division of Community Development	1.14	HK0213	\$ 1,150,953.00
Division of Community Development	*Chinle Chapter	Chinle Chapter Watering Point Pavement Project	Division of Community Development	5.15	HK0214	\$ 70,000.00
Division of Community Development	*Chinle Chapter	Chinle Chapter Warehouse	Division of Community Development	6.1	HK0270	\$ 1,200,000.00
Division of Community Development	*Chinle Chapter	Chinle/Ft. Defiance Alcohol and Substance Abuse Recovery Centers - Day At A Time Club, Inc.	NN Department of Health	1.13	HK0203	\$ 250,000.00

TOTAL: \$ 7,295,850.00

*Per CJN-29-22, Section Three (E), the "Navajo Nation Central Government may award funding to LGA-Certified Chapters through sub-recipient agreements to implement and manage specific projects, but shall maintain Administrative Oversight over such funding and Delegate Region Project Plans."

NAVAJO NATION FISCAL RECOVERY FUND DELEGATE REGION PROJECT PLAN



COUNCIL DELEGATE: Delegate Eugene Tso

CHAPTERS: Chinle

FUNDING RECIPIENT	SUBRECIPIENT	EXPENDITURE PLAN / PROJECT	ADMIN OVERSIGHT	FRF CATEGORY	DOJ REVIEW #	AMOUNT
		TOTAL AMOUNT from PAGE 01				\$ 7,295,850.00
Division of Community Development	*Chinle Chapter	Chinle Chapter Equipment Project	Chinle Chapter Government	6.1	HK0268	\$ 288,500.00
Division of Community Development	*Chinle Chapter	Chinle Chapter Wellness Center	Division of Community Development	2.22	HK0269	\$ 750,000.00
Division of Community Development	*Chinle Chapter	Chinle Chapter Emergency Funding	Division of Community Development	6.1	HK0276	\$ 250,500.00
Division of Community Development	*Chinle Chapter	Chinle Chapter N8095 Road Crossing Project	NN Division of Transportation	2.22	HK0274	\$ 217,490.00
		UN-ALLOCATED AMOUNT				

*Per CJN-29-22, Section Three (E), the "Navajo Nation Central Government may award funding to LGA-Certified Chapters through sub-recipient agreements to implement and manage specific projects, but shall maintain Administrative Oversight over such funding and Delegate Region Project Plans."

TOTAL: \$ 8,802,340.00

Appendix F

**Financial Assistance Agreement between
Department of Treasury and The Navajo
Nation**

[https://frf.navajo-nsn.gov/Portals/0/US%20DeptofTreasury_NNAgreement.pdf?
ver=51JEz6okaV06DtRH7_8Xrg%3d%3d](https://frf.navajo-nsn.gov/Portals/0/US%20DeptofTreasury_NNAgreement.pdf?ver=51JEz6okaV06DtRH7_8Xrg%3d%3d)

Appendix G

U.S. Department of Treasury Compliance and Reporting Guideline for SLFRF

<https://frf.navajo-nsn.gov/Portals/0/Info%20Webpage/Business%20Opportunity%20Act/SLFRF-Compliance-and-Reporting-Guidance%20Version%205.1%20June%206%202023.pdf?ver=o1liF-EvwipjiBREKWiuXQ%3d%3d>

Compliance and Reporting Guidance

State and Local Fiscal Recovery Funds



September 27, 2023
Version: 5.2



Coronavirus State and Local Fiscal Recovery Funds Guidance on Recipient Compliance and Reporting Responsibilities

On March 11, 2021, the American Rescue Plan Act was signed into law, and established the Coronavirus State Fiscal Recovery Fund and Coronavirus Local Fiscal Recovery Fund, which together make up the Coronavirus State and Local Fiscal Recovery Funds (“SLFRF”) program. This program is intended to provide support to State, territorial, local, and Tribal governments in responding to the economic and public health impacts of COVID-19 and in their efforts to contain impacts on their communities, residents, and businesses.

In May 2021, Treasury published the 2021 interim final rule (“2021 IFR”) describing eligible and ineligible uses of SLFRF, as well as other program requirements. The initial versions of this Compliance and Reporting guidance reflected the 2021 IFR and its eligible use categories. On January 6, 2022, the U.S. Department of the Treasury (“Treasury”) adopted the 2022 final rule implementing the SLFRF program. The 2022 final rule became effective on April 1, 2022. Prior to the 2022 final rule effective date, the 2021 IFR remained in effect; funds used consistently with the 2021 IFR while it was in effect were in compliance with the SLFRF program. However, recipients could choose to take advantage of the 2022 final rule’s flexibilities and simplifications ahead of the effective date. Recipients may consult the [Statement Regarding Compliance with the Coronavirus State and Local Fiscal Recovery Funds Interim Final Rule and Final Rule](#) for more information on compliance with the 2021 IFR and the 2022 final rule.

On December 29, 2022, the Consolidated Appropriations Act, 2023 was enacted, amending the SLFRF program to provide additional flexibility for recipients to use SLFRF funds for three new eligible use categories. The 2023 interim final rule (“2023 IFR”) was published in the federal register on September 20, 2023. The 2023 IFR became effective upon publication.

To support recipients in complying with the 2022 final rule and the 2023 IFR, this reporting guidance reflects the 2022 final rule and the 2023 IFR and provides additional detail and clarification for each recipient’s compliance and reporting responsibilities under the SLFRF program, and should be read in concert with the Award Terms and Conditions, the authorizing statute, the [2022 final rule](#), the 2023 IFR, other program guidance including the [2022 Final Rule FAQs](#), and other regulatory and statutory requirements, including regulatory requirements under the [Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards \(“Uniform Guidance” or 2 CFR Part 200\)](#), and [2021 SLFRF Compliance Supplement – Technical Update](#), [2022 SLFRF Compliance Supplement](#), and [2023 SLFRF Compliance Supplement](#). Please see the [Assistance Listing](#) in SAM.gov under assistance listing number (formerly known as CFDA number) 21.027 for more information.

Please Note: This guidance document applies to the SLFRF program only and does not change or impact reporting and compliance requirements for the Coronavirus Relief Fund (“CRF”) established by the CARES Act.

This guidance includes two parts:

Part 1: General Guidance

This section provides an orientation to recipients’ compliance responsibilities and Treasury’s expectations and recommends best practices where appropriate under the SLFRF program.

A. Key Principles..... P. 4



B. Statutory Eligible Uses..... P. 4
 C. Treasury's 2022 Final Rule and 2023 IFR P. 5
 D. Uniform Guidance (2 CFR Part 200)..... P. 8
 E. Award Terms and Conditions..... P. 13

Part 2: Reporting Requirements

This section provides information on the reporting requirements for the SLFRF program.

A. Interim Report..... P. 18
 B. Project and Expenditure Report..... P. 19
 C. Recovery Plan Performance Report..... P. 40

Appendix 1: Expenditure Categories..... P. 48
 Appendix 2: Evidenced-Based Intervention Additional Information..... P. 55
 Appendix 3: Expenditure Categories under the 2021 Interim Final Rule..... P. 56

OMB Control Number: 1505-0271

OMB Expiration Date: 04/30/2025

PAPERWORK REDUCTION ACT NOTICE

The information collected will be used for the U.S. Government to process requests for support. The estimated burden for the collections of information included in this guidance is as follows: 30 minutes for Title VI Assurances, 2 hours per response for the Interim Report, 6 hours per response for the Project and Expenditure Report and 100 hours per response for the Recovery Plan Performance Report (if applicable). Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to the Office of Privacy, Transparency and Records, Department of the Treasury, 1500 Pennsylvania Ave., N.W., Washington, D.C. 20220. DO NOT send the form to this address. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.



Part 1: General Guidance

This section provides an orientation on recipients' compliance responsibilities and Treasury's expectations and recommended best practices where appropriate under the SLFRF program.

Recipients under the SLFRF program are the eligible entities identified in sections 602 and 603 of the Social Security Act as added by section 9901 of the American Rescue Plan Act of 2021 (the "SLFRF statute") that receive an SLFRF award. Subrecipients under the SLFRF program are entities that receive a subaward from a recipient to carry out the purposes (program or project) of the SLFRF award on behalf of the recipient.

Recipients are accountable to Treasury for oversight of their subrecipients in accordance with 2 CFR 200.332, including ensuring their subrecipients comply with the SLFRF statute, SLFRF Award Terms and Conditions, Treasury's 2021 IFR, 2022 final rule, and 2023 IFR, other applicable federal statutes and regulations, and reporting requirements.

A. Key Principles

There are several guiding principles for developing your own effective compliance regimes:

- Recipients and subrecipients are the first line of defense and responsible for ensuring the SLFRF award funds are not used for ineligible purposes, and there is no fraud, waste, or abuse associated with their SLFRF award;
- Many SLFRF-funded projects respond to the COVID-19 public health emergency¹ and meet urgent community needs. Swift and effective implementation is vital, and recipients must balance facilitating simple and rapid program access widely across the community and maintaining a robust documentation and compliance regime;
- Treasury encourages recipients to use SLFRF-funded projects to advance shared interests and promote equitable delivery of government benefits and opportunities to underserved communities, as outlined in Executive Order 13985, On Advancing Racial Equity and Support for Underserved Communities Through the Federal Government; and
- Transparency and public accountability for SLFRF award funds and use of such funds are critical to upholding program integrity and trust in all levels of government, and SLFRF award funds should be managed consistent with Administration guidance per Memorandum M-21-20 and Memorandum M-20-21.

B. Statutory Eligible Uses

As a recipient of an SLFRF award, your organization has substantial discretion to use the award funds in the ways that best suit the needs of your constituents – as long as such use fits into one of the following seven statutory categories:

1. To respond to the COVID-19 public health emergency or its negative economic impacts;
2. To respond to workers performing essential work during the COVID-19 public health emergency by providing premium pay to eligible workers of the recipient that are performing such essential work, or by providing grants to eligible employers that have eligible workers who perform essential work;
3. For the provision of government services, to the extent of the reduction in revenue of such

¹ The SLFRF rule defines "COVID-19 public health emergency" as "the period beginning on January 27, 2020 and lasting until the termination of the national emergency concerning the COVID-19 outbreak declared pursuant to the National Emergencies Act." See 31 CFR 35.3. As discussed in Final Rule FAQ 4.11, following the termination of the National Emergency on April 10, 2023, recipients generally may continue to make investments using their SLFRF funds without changes, with the exception of projects in the premium pay eligible use category. Please refer to FAQ 4.11 for more information.



- recipient due to the COVID-19 public health emergency, relative to revenues collected in the most recent full fiscal year of the recipient prior to the emergency;
4. To make necessary investments in water, sewer, or broadband infrastructure;
 5. To provide emergency relief from natural disasters or the negative economic impacts of natural disasters;
 6. For projects eligible under the 26 surface transportation programs specified in the 2023 CAA (Surface Transportation projects); or
 7. For projects eligible under Title I of the Housing and Community Development Act of 1974 (Title I projects).

In addition, sections 602(c)(4) and 603(c)(5) of the Social Security Act, as amended by the Infrastructure Investment and Jobs Act, provide that SLFRF funds may be used for an authorized Bureau of Reclamation project for purposes of satisfying any non-Federal matching requirement required for the project.

Treasury adopted the 2021 IFR in May 2021 and the 2022 final rule on January 6, 2022 to implement the first four eligible use categories and other restrictions on the use of funds under the SLFRF program. The 2022 final rule took effect on April 1, 2022, and the 2021 IFR remained in effect until that time, although recipients could choose to take advantage of the 2022 final rule's flexibilities and simplifications prior to April 1, 2022. Recipients may consult the Statement Regarding Compliance with the Coronavirus State and Local Fiscal Recovery Funds Interim Final Rule and Final Rule for more information on compliance with the 2021 IFR and the 2022 final rule.

On December 29, 2022, the Consolidated Appropriations Act, 2023 was enacted, amending the SLFRF program to provide additional flexibility for recipients to use SLFRF funds for three new eligible use categories. The 2023 IFR was published in the federal register on September 20, 2023. The 2023 IFR became effective upon publication.

It is the recipient's responsibility to ensure all SLFRF award funds are used in compliance with the program's requirements. In addition, recipients should be mindful of any additional compliance obligations that may apply – for example, additional restrictions imposed upon other sources of funds used in conjunction with SLFRF award funds, or statutes and regulations that may independently apply to water, broadband, and sewer infrastructure projects. Recipients should ensure they maintain proper documentation supporting determinations of costs and applicable compliance requirements, and how they have been satisfied as part of their award management, internal controls, and subrecipient oversight and management.

C. Treasury's 2022 Final Rule and 2023 IFR

Treasury's 2022 final rule and 2023 IFR detail recipients' compliance responsibilities and provides additional information on eligible and restricted uses of SLFRF award funds and reporting requirements.

1. **Eligible and Restricted Uses of SLFRF Funds.** As described in the SLFRF statute and summarized above, there are seven eligible uses of SLFRF award funds. As a recipient of an award under the SLFRF program, your organization is responsible for complying with requirements for the use of funds. In addition to determining a given project's eligibility, recipients are also responsible for determining subrecipient's or beneficiaries' eligibility, and must monitor subrecipients' use of SLFRF award funds.

To help recipients build a greater understanding of eligible uses, Treasury's 2022 final rule and 2023 IFR establish a framework for determining whether a specific project would be eligible under the SLFRF program, including some helpful definitions. For example, Treasury's 2022 final rule and 2023 IFR establish:



- A framework for determining whether a project responds to the COVID-19 public health emergency or its negative economic impacts;
- Definitions of “eligible employers,” “essential work,” “eligible workers,” and “premium pay” for cases where premium pay is an eligible use;
- The option to select between a standard amount of revenue loss or complete a full revenue loss calculation of revenue lost due to the COVID-19 public health emergency;
- A framework for necessary water and sewer infrastructure projects that aligns eligible uses with projects that are eligible under the Environmental Protection Agency’s Drinking Water and Clean Water State Revolving Funds along with certain additional projects, including a wider set of lead remediation and stormwater infrastructure projects and aid for residential wells;
- A framework for necessary broadband projects that allows for projects that are designed to provide service of sufficient speeds to eligible areas, as well as an affordability requirement for providers that provide service to households;
- A framework for determining how to provide emergency relief from a natural disaster;
- Three pathways for using SLFRF funds for Surface Transportation projects along with the associated statutory requirements; and
- A list of eligible Title I projects by reference to the activities that are eligible under the Community Development Block Program, along with the associated statutory requirements.

Treasury’s 2022 final rule also provides more information on important restrictions on use of SLFRF award funds, including that recipients other than Tribal governments may not deposit SLFRF funds into a pension fund; and recipients that are States or territories may not use SLFRF funds to offset a reduction in net tax revenue resulting from the recipient’s change in law, regulation, or administrative interpretation. In addition, recipients may not use SLFRF funds directly to service debt, satisfy a judgment or settlement, or contribute to a “rainy day” fund. Recipients should refer to Treasury’s 2022 final rule for more information on these restrictions and to the 2023 IFR for how these restrictions apply to the eligible uses added by the Consolidated Appropriations Act, 2023.

Treasury’s 2022 final rule outlines that funds available under the “revenue loss” eligible use category (sections 602(c)(1)(C) and 603(c)(1)(C) of the Social Security Act) generally may be used to meet the non-federal cost-share or matching requirements of other federal programs. However, the 2022 final rule notes that SLFRF funds may not be used as the non-federal share for purposes of a state’s Medicaid and CHIP programs because the Office of Management and Budget (“OMB”) has approved a waiver as requested by the Centers for Medicare & Medicaid Services pursuant to 2 CFR 200.102 of the Uniform Guidance and related regulations. If a recipient seeks to use SLFRF funds to satisfy match or cost-share requirements for a federal grant program, it should first confirm with the relevant awarding agency that no waiver has been granted for that program, that no other circumstances enumerated under 2 CFR 200.306(b) would limit the use of SLFRF funds to meet the match or cost-share requirement, and that there is no other statutory or regulatory impediment to using the SLFRF funds for the match or cost-share requirement. Treasury’s 2023 IFR outlines that under the Surface Transportation projects eligible use category, recipients may use SLFRF funds to satisfy non-federal cost share requirements for certain programs under Pathway Three. In addition, under the Title I projects eligible use category, recipients may use SLFRF funds to satisfy the non-federal share requirements of a federal financial assistance program in support of activities that would be eligible under the CDBG and ICDBG programs.

SLFRF funds beyond those that are available under the circumstances described above may not be used to meet the non-federal match or cost-share requirements of other federal programs, other than as specifically provided for by statute. For example, the Infrastructure Investment and Jobs Act provides that SLFRF funds may be used to meet the non-federal match requirements of authorized Bureau of Reclamation projects and certain broadband deployment projects.



Treasury's 2023 IFR describes the additional statutory restrictions that apply to the Surface Transportation projects and Title I projects eligible use categories. First, the total amount of SLFRF funds that a recipient may use for Surface Transportation projects and Title I projects, taken together, cannot exceed the greater of \$10 million and 30% of a recipient's SLFRF allocation. Second, recipients using SLFRF funds for Surface Transportation projects and Title I projects must supplement, and not supplant, other federal, state, territorial, Tribal, and local government funds (as applicable) otherwise available for such uses. For the Surface Transportation projects eligible use category, recipients using funds for projects eligible for Urbanized Formula Grants, Fixed Guideway Capital Investment Grants, Formula Grants for Rural Areas, State of Good Repair Grants, or Grants for Buses and Bus Facilities may not use SLFRF funds for operating expenses of these projects.

- 2. Eligible Costs Timeframe.** For eligible use categories described in the 2022 final rule, your organization, as a recipient of an SLFRF award, may use SLFRF funds to cover eligible costs that your organization incurred during the period that begins on March 3, 2021 and ends on December 31, 2024, as long as the award funds for the obligations incurred by December 31, 2024 are expended by December 31, 2026. Costs incurred for projects by the recipient State, territorial, local, or Tribal government prior to March 3, 2021 are not eligible, as provided for in Treasury's 2022 final rule.

For eligible use categories described in the 2023 IFR, recipients may use SLFRF funds for the three new eligible uses for costs incurred beginning December 29, 2022. Consistent with the existing eligible uses, recipients must obligate SLFRF funds for the new eligible uses by December 31, 2024. Recipients must expend SLFRF funds obligated to provide emergency relief from natural disasters by December 31, 2026. Recipients must expend SLFRF funds obligated for Surface Transportation projects and Title I projects by September 30, 2026. Costs for projects described in the 2023 IFR that are incurred by the recipient State, territorial, local, or Tribal government prior to December 29, 2022 are not eligible under these three eligible use categories.

Recipients may, in certain circumstances, use SLFRF award funds for the eligible use categories described in Treasury's 2022 final rule for costs incurred prior to March 3, 2021. Specifically,

- a. **Public Health/Negative Economic Impacts:** Recipients may use SLFRF award funds to provide assistance to households, small businesses, and nonprofits to respond to the public health emergency or negative economic impacts of the pandemic – such as rent, mortgage, or utility assistance – for costs incurred by the beneficiary (e.g., a household) prior to March 3, 2021, provided that the recipient State, territorial, local or Tribal government did not incur the cost of providing such assistance prior to March 3, 2021.
- b. **Premium Pay:** Recipients may provide premium pay retrospectively for work performed at any time during the COVID-19 public health emergency. Such premium pay must be "in addition to" wages and remuneration already received and the obligation to provide such premium pay must not have been incurred by the recipient prior to March 3, 2021.
- c. **Revenue Loss:** Recipients have broad discretion to use funds for the provision of government services to the extent of reduction in revenue. While calculation of lost revenue is based on the recipient's revenue in the last full fiscal year prior to the COVID-19 public health emergency, use of funds for government services must be forward looking for costs incurred by the recipient after March 3, 2021.
- d. **Investments in Water, Sewer, and Broadband:** Recipients may use SLFRF award funds to make necessary investments in water, sewer, and broadband infrastructure. Recipients may use SLFRF award funds to cover costs incurred for eligible projects planned or started prior to March 3, 2021, provided that the project costs covered by the SLFRF award funds were incurred by the recipient after March 3, 2021.



Any funds not obligated or expended for eligible uses by the timelines above must be returned to Treasury, including any unobligated or unexpended funds that have been provided to subrecipients and contractors as part of the award closeout process pursuant to 2 C.F.R. 200.344(d). For the purposes of determining expenditure eligibility, "incurred" means the recipient has incurred an obligation, which has the same meaning given to "financial obligation" in 2 CFR 200.1. See 31 CFR 35.5(b).

3. **Reporting.** Generally, recipients must submit one initial Interim Report, quarterly or annual Project and Expenditure reports which include subaward reporting, and in some cases annual Recovery Plan reports. Treasury's 2022 final rule, 2023 IFR, and Part 2 of this guidance provide more detail around SLFRF reporting requirements.
4. **Expenditure Categories.** Treasury's 2022 final rule provides greater flexibility and simplicity for recipients to fight the pandemic and support families and businesses struggling with its impacts, maintain vital services amid revenue shortfalls, and build a strong, resilient, and equitable recovery. As such, recipients report on a broader set of eligible uses and associated Expenditure Categories ("EC"), which began with the April 2022 Project and Expenditure Report. Appendix 1 includes the new ECs, as well as a reference to previous ECs used for reporting under the 2021 IFR.

The 2023 IFR implements the amendments to the SLFRF program made by the Consolidated Appropriations Act, 2023, which provides additional flexibility for recipients to use SLFRF funds to respond to natural disasters, build critical infrastructure, and support community development. The additional ECs associated with the 2023 IFR began with the October 2023 Project and Expenditure Report. These ECs also may be found in Appendix 1.

Assistance Listing

The Assistance Listing for the Coronavirus State and Local Fiscal Recovery Funds (SLFRF) was published May 28, 2021 on SAM.gov under Assistance Listing Number ("ALN"), formerly known as CFDA Number, 21.027.

The assistance listing includes helpful information including program purpose, statutory authority, eligibility requirements, and compliance requirements for recipients. The ALN is the unique 5-digit number assigned to identify a federal assistance listing, and can be used to search for federal assistance program information, including funding opportunities, spending on USASpending.gov, or audit results through the Federal Audit Clearinghouse.

To expedite payments and meet statutory timelines Treasury issued initial payments under an existing ALN, 21.019, assigned to the CRF. If you have already received funds or captured the initial number in your records, please update your systems and reporting to reflect the new ALN 21.027 for the SLFRF program. **Recipients must use ALN 21.027 for all financial accounting, subawards, and associated program reporting requirements for the SLFRF awards.**

D. Uniform Administrative Requirements

The SLFRF awards are generally subject to the requirements set forth in the Uniform Guidance. In all instances, your organization should review the Uniform Guidance requirements applicable to your organization's use of SLFRF funds, and SLFRF-funded projects. Additional details about applicability of certain provisions of the Uniform Guidance may be found in:

- SLFRF 2022 final rule;



- [SLFRF Assistance Listing](#);
- SLFRF 2022 Final Rule FAQs, including FAQ 4.9, 10.1, and Section 13; and
- SLFRF 2023 IFR.

The following sections provide a general summary of your organization's compliance responsibilities under applicable statutes and regulations, including the Uniform Guidance, as described in the most recent compliance supplement issued by OMB. Note that the descriptions below are only general summaries and all recipients and subrecipients are advised to carefully review the Uniform Guidance requirements and any additional regulatory and statutory requirements applicable to the program.

- 1. Allowable Activities.** Each recipient should review program requirements, including Treasury's 2022 final rule, 2023 IFR, and the recipient's Award Terms and Conditions, to determine and record eligible uses of SLFRF funds. Per 2 CFR 200.303, your organization must develop and implement effective internal controls to ensure that funding decisions under the SLFRF award constitute eligible uses of funds, and document determinations.
- 2. Allowable Costs/Cost Principles.** As outlined in the Uniform Guidance at 2 CFR Part 200, Subpart E regarding Cost Principles, allowable costs are based on the premise that a recipient is responsible for the effective administration of Federal awards, application of sound management practices, and administration of Federal funds in a manner consistent with the program objectives and terms and conditions of the award. Recipients must implement robust internal controls and effective monitoring to ensure compliance with the Cost Principles, which are important for building trust and accountability. Please note that as outlined in 2022 Final Rule [FAQ 13.15](#), only a subset of the Uniform Guidance requirements at 2 CFR Part 200 Subpart E (Cost Principles) applies to recipients' use of funds in the revenue loss eligible use category.

SLFRF funds may be, but are not required to be, used along with other funding sources for a given project. Recipients should note that SLFRF funds available under the "revenue loss" eligible use category generally may be used to meet the non-federal cost-share or matching requirements of other federal programs. If a recipient seeks to use SLFRF funds to satisfy match or cost-share requirements for a federal grant program, the recipient should first confirm with the relevant awarding agency that no waiver has been granted for that program, that no other circumstances enumerated under 2 CFR 200.306(b) would limit the use of SLFRF funds to meet the match or cost-share requirement, and that there is no other statutory or regulatory impediment to using the SLFRF funds for the match or cost-share requirement. For instance, recipients should note that SLFRF funds may not be used as the non-federal share for purposes of a state's Medicaid and CHIP programs because the OMB has approved a waiver from this provision as requested by the Centers for Medicare & Medicaid Services pursuant to 2 CFR 200.102 of the Uniform Guidance and related regulations.

Treasury's 2023 IFR outlines that under the Surface Transportation projects eligible use category, recipients may use SLFRF funds to satisfy non-federal cost share requirements for certain programs under Pathway Three. In addition, under the Title I projects eligible use category, recipients may use SLFRF funds to satisfy the non-federal share requirements of a federal financial assistance program in support of activities that would be eligible under the CDBG and ICDBG programs.

SLFRF funds beyond those that are available under the circumstances described above may not be used to meet the non-federal match or cost-share requirements of other federal programs, other than as specifically provided for by statute. As an example, the Infrastructure Investment and Jobs Act provides that SLFRF funds may be used to meet the non-federal match requirements of authorized Bureau of Reclamation projects and certain broadband deployment projects. Recipients should consult the 2022 final rule for further details if they seek to utilize SLFRF funds as a match for these projects.



Treasury's 2022 final rule, 2023 IFR, program guidance, and the Uniform Guidance outline the types of costs that are allowable, including certain audit costs. For example, per 2 CFR 200.425, a reasonably proportionate share of the costs of audits required by the Single Audit Act Amendments of 1996 are allowable; however, costs for audits that were not performed in accordance with 2 CFR Part 200, Subpart F and the Compliance Supplement are not allowable. Please see 2 CFR Part 200, Subpart E regarding the Cost Principles for more information.

- a. **Administrative costs:** Recipients may use funds for administering the SLFRF program, including costs of consultants to support effective management and oversight, including consultation for ensuring compliance with legal, regulatory, and other requirements.² Further, costs must be reasonable and allocable as outlined in 2 CFR 200.404 and 2 CFR 200.405. Pursuant to the SLFRF Award Terms and Conditions, recipients are permitted to charge both direct and indirect costs to their SLFRF award as administrative costs as long as they are accorded consistent treatment per 2 CFR 200.403. Direct costs are those that are identified specifically as costs of implementing the SLFRF program objectives, such as contract support, materials, and supplies for a project. Indirect costs are general overhead costs of an organization where a portion of such costs are allocable to the SLFRF award such as the cost of facilities or administrative functions like a director's office.³⁴ Each category of cost should be treated consistently in like circumstances as direct or indirect, and recipients may not charge the same administrative costs to both direct and indirect cost categories, or to other programs. If a recipient has a current Negotiated Indirect Costs Rate Agreement ("NICRA") established with a Federal cognizant agency responsible for reviewing, negotiating, and approving cost allocation plans or indirect cost proposals, then the recipient may use its current NICRA. Alternatively, if the recipient does not have a NICRA, the recipient may elect to use the de minimis rate of 10 percent of the modified total direct costs pursuant to 2 CFR 200.414(f).
- b. **Salaries and Expenses:** In general, certain employees' wages, salaries, and covered benefits are an eligible use of SLFRF award funds. Please see Treasury's 2022 final rule for details.

3. Cash Management. SLFRF payments made to recipients are not subject to the requirements of the Cash Management Improvement Act and Treasury's implementing regulations at 31 CFR Part 205 or 2 CFR 200.305(b)(8)-(9).

As such, recipients can place funds in interest-bearing accounts, do not need to remit interest to Treasury, and are not limited to using that interest for eligible uses under the SLFRF award.

4. Eligibility. Under this program, recipients are responsible for ensuring funds are used for eligible purposes. Generally, recipients must develop and implement policies and procedures, and retain records, to determine and monitor implementation of criteria for determining the eligibility of beneficiaries and/or subrecipients. Your organization, and if applicable, the subrecipient(s) administering a program on behalf of your organization, will need to maintain procedures for obtaining information evidencing a given beneficiary, subrecipient, or contractor's eligibility, including a valid Unique Entity Identifier (UEI) from SAM.gov.(except with respect to beneficiaries for which a UEI is not required). A UEI can be obtained without having to fully register in SAM.gov. Implementing risk-based due diligence for eligibility determinations is a best practice to augment your organization's existing controls.

² Recipients also may use SLFRF funds directly for administrative costs to improve the design and execution of programs responding to the COVID-19 pandemic and to administer or improve the efficacy of programs addressing the public health emergency or its negative economic impacts. 31 CFR 35.6(b)(3)(ii)(E)(3).

³ 2 CFR 200.413 Direct Costs.

⁴ 2 CFR 200.414 Indirect Costs.



5. **Property Management.** Any purchase of real or personal property with SLFRF funds must be consistent with the Uniform Guidance at 2 CFR Part 200, Subpart D, unless stated otherwise by Treasury. For example, as outlined in 2022 Final Rule [FAQ 13.15](#), only a subset of the Uniform Guidance requirements at 2 CFR Part 200 Subpart D (Post Federal Award Requirements) applies to recipients' use of funds in the revenue loss eligible use category. Furthermore, as outlined in 2022 Final Rule [FAQ 13.16](#), Treasury has clarified the use and disposition requirements for real and personal property, supplies, and equipment purchased with SLFRF funds.
6. **Matching, Level of Effort, Earmarking.** There are no matching, level of effort, or earmarking compliance responsibilities associated with the SLFRF award. See Section C.1 (Eligible and Restricted Uses of SLFRF Funds) for a discussion of restrictions on use of SLFRF funds. Please see 2. Allowable Costs/Cost Principles above for information on the use of SLFRF funds for non-Federal match or cost-sharing requirements in other Federal programs.
7. **Period of Performance.** Your organization should also develop and implement internal controls related to activities occurring outside the period of performance. For eligible uses under the 2022 final rule, all funds remain subject to statutory and regulatory requirements that they must be used for costs incurred by the recipient during the period that begins on March 3, 2021, and ends on December 31, 2024, and that award funds for the financial obligations incurred by December 31, 2024 must be expended by December 31, 2026. For eligible uses under the 2023 IFR, recipients may use SLFRF funds for costs incurred beginning December 29, 2022. Consistent with the existing eligible uses, recipients must obligate SLFRF funds for the new eligible uses by December 31, 2024. Recipients must expend SLFRF funds obligated to provide emergency relief from natural disasters by December 31, 2026. Recipients must expend SLFRF funds obligated for Surface Transportation projects and Title I projects by September 30, 2026. Any funds not expended must be returned to Treasury as part of the award closeout process pursuant to 2 C.F.R. 200.344(d).
8. **Procurement, Suspension & Debarment.** Recipients are responsible for ensuring that any procurement using SLFRF funds, or payments under procurement contracts using such funds, are consistent with the procurement standards set forth in the Uniform Guidance at 2 CFR 200.317 through 2 CFR 200.327, unless stated otherwise by Treasury. As outlined in 2022 Final Rule [FAQ 13.15](#), only a subset of the Uniform Guidance requirements at 2 CFR Part 200 Subpart D (Post Federal Award Requirements) applies to recipients' use of funds in the revenue loss eligible use category. The procurement standards set forth in the Uniform Guidance at 2 CFR 200.317 through 2 CFR 200.327 are not included in 2022 Final Rule [FAQ 13.15](#)'s list of applicable Subpart D requirements that apply to recipients' use of funds in the revenue loss eligible use category.

The Uniform Guidance establishes in 2 CFR 200.319 that all procurement transactions for property or services must be conducted in a manner providing full and open competition, consistent with standards outlined in 2 CFR 200.320, which allows for non-competitive procurements only in certain circumstances. Recipients must have and use documented procurement procedures that are consistent with the standards outlined in 2 CFR 200.317 through 2 CFR 200.320. The Uniform Guidance, pursuant to 2 CFR 180, requires an infrastructure for competitive bidding and contractor oversight, including maintaining written standards of conduct and prohibitions on dealing with suspended or debarred parties. Your organization must ensure adherence to all applicable local, State, and federal procurement laws and regulations.

9. **Program Income.** Generally, program income includes, but is not limited to, income from fees for services performed, the use or rental of real or personal property acquired under Federal awards, and principal and interest on loans made with Federal award funds. Program income does not include interest earned on advances of Federal funds, rebates, credits, discounts, or interest on rebates, credits, or discounts. Recipients of SLFRF funds should calculate, document, and record



the organization's program income. Additional controls that your organization should implement include written policies that explicitly identify appropriate allocation methods, accounting standards and principles, compliance monitoring checks for program income calculations, and records.

The Uniform Guidance outlines the requirements that pertain to program income at 2 CFR 200.307. Treasury has clarified in its 2022 Final Rule FAQs that recipients may add program income to the Federal award. Any program income generated from SLFRF funds must be used for the purposes and under the conditions of the Federal award. Further, 2022 Final Rule FAQ 4.9 provides additional information about program income requirements applicable to certain eligible uses, and 2022 Final Rule FAQ 13.15 clarifies that only a subset of the Uniform Guidance requirements at 2 CFR 200 Subpart D (Post Federal Award Requirements) applies to recipients' use of funds in the revenue loss eligible use category. The list of applicable Subpart D requirements in 2022 Final Rule FAQ 13.15 does not include the program income requirements in 2 CFR 200.307.

- 10. Reporting.** All recipients of federal funds must complete financial, performance, and compliance reporting as required and outlined in Part 2 of this guidance. Expenditures may be reported on a cash or accrual basis, as long as the methodology is disclosed and consistently applied. Reporting must be consistent with the definition of expenditures pursuant to 2 CFR 200.1. Your organization should appropriately maintain accounting records for compiling and reporting accurate, compliant financial data, in accordance with appropriate accounting standards and principles.

In addition, where appropriate, your organization needs to establish controls to ensure completion and timely submission of all mandatory performance and/or compliance reporting. See Part 2 of this guidance for a full overview of recipient reporting responsibilities.

Consolidated jurisdictions or other types of jurisdictions that received multiple SLFRF allocations (e.g., a county and city with a consolidated government) are only required to file once per reporting period, and such reports will cover the total SLFRF allocations received by the jurisdiction. This includes non-entitlement units of local government ("NEUs") and/or units of general local government located within counties that are not units of general local government. In addition, the total SLFRF allocations across all sources for a given jurisdiction will be used to identify that jurisdiction's Reporting Tier.

- 11. Subrecipient Monitoring.** SLFRF recipients that are pass-through entities as described under 2 CFR 200.1 are required to manage and monitor their subrecipients to ensure compliance with requirements of the SLFRF award pursuant to 2 CFR 200.332 regarding requirements for pass-through entities.

First, your organization must clearly identify to the subrecipient: (1) that the award is a subaward of SLFRF funds; (2) any and all compliance requirements for use of SLFRF funds; and (3) any and all reporting requirements for expenditures of SLFRF funds.

Next, your organization will need to evaluate each subrecipient's risk of noncompliance based on a set of common factors. These risk assessments may include factors such as prior experience in managing Federal funds, previous audits, personnel, and policies or procedures for award execution and oversight. Ongoing monitoring of any given subrecipient should reflect its assessed risk and include monitoring, identification of deficiencies, and follow-up to ensure appropriate remediation.

Accordingly, your organization should develop written policies and procedures for subrecipient monitoring and risk assessment and maintain records of all award agreements identifying or otherwise documenting subrecipients' compliance obligations.



Recipients should note that NEUs are not subrecipients under the SLFRF program. They are SLFRF recipients that report directly to Treasury.

Recipients should also note that subrecipients do not include individuals and organizations that received SLFRF funds as end users. Such individuals and organizations are beneficiaries and not subject to audit pursuant to the Single Audit Act and 2 C.F.R. Part 200, Subpart F.

Many recipients may choose to provide a subaward or contract to other entities to provide services to other end users. For example, a recipient may provide a subaward to a nonprofit to provide homeless services to individuals experiencing homelessness. In this case, the subaward to a nonprofit is based on the services that the recipient intends to provide (assistance to households experiencing homelessness), and the nonprofit is serving as the subrecipient, providing services on behalf of the recipient. Subrecipients are subject to an audit pursuant to the Single Audit Act and 2 CFR part 200, subpart F regarding audit requirements, whereas contractors are not subject to an audit pursuant to the Single Audit Act and 2 CFR part 200, subpart F regarding audit requirements.

Please note that as outlined in 2022 Final Rule FAQ 13.14, recipients' use of funds in the revenue loss eligible use category does not give rise to subrecipient relationships. As a result, subaward reporting is not required for projects in the revenue loss eligible use category.

12. Special Tests and Provisions. From time-to-time, Treasury may issue subregulatory guidance as well as frequently asked questions.

Across each of the compliance requirements above, Treasury has described some best practices for development of internal controls in **Table 1** below, with an example of each best practice.

Table 1: Internal controls best practices

Best Practice	Description	Example
Written policies and procedures	Formal documentation of recipient policies and procedures	Documented procedure for determining worker eligibility for premium pay
Written standards of conduct	Formal statement of mission, values, principles, and professional standards	Documented code of conduct / ethics for subcontractors
Risk-based due diligence	Pre-payment validations conducted according to an assessed level of risk	Enhanced eligibility review of subrecipient with imperfect performance history
Risk-based compliance monitoring	Ongoing validations conducted according to an assessed level of risk	Higher degree of monitoring for projects that have a higher risk of fraud, given program characteristics
Record maintenance and retention	Creation and storage of financial and non-financial records	Storage of all subrecipient payment information

E. Award Terms and Conditions

The Award Terms and Conditions of the SLFRF financial assistance agreement sets forth the compliance obligations for recipients pursuant to the SLFRF statute, the Uniform Guidance, Treasury's 2022 final rule, 2023 IFR, and applicable federal laws and regulations. Recipients should ensure they remain in compliance with all Award Terms and Conditions. These obligations include the following items in addition to those described above:



1. **SAM.gov Requirements.** All eligible recipients are required to have an active registration with the System for Award Management ("SAM") (<https://www.sam.gov>) pursuant to 2 CFR Part 25. To ensure timely receipt of funding, Treasury has stated that NEUs who have not previously registered with SAM.gov may do so after receipt of the award, but before the submission of mandatory reporting.⁵
2. **Recordkeeping Requirements.** Generally, your organization must maintain records and financial documents for five years after all funds have been expended or returned to Treasury, as outlined in paragraph 4.c. of the Award Terms and Conditions. Treasury may request transfer of records of long-term value at the end of such period. Wherever practicable, such records should be collected, transmitted, and stored in open and machine-readable formats.

Your organization must agree to provide or make available such records to Treasury upon request, and to the Government Accountability Office ("GAO"), Treasury's Office of Inspector General ("OIG"), and their authorized representative in order to conduct audits or other investigations.

3. **Single Audit Requirements.** Recipients and subrecipients that expend more than \$750,000 in Federal awards during their fiscal year will be subject to an audit under the Single Audit Act and its implementing regulation at 2 CFR Part 200, Subpart F regarding audit requirements.⁶ Note that the Compliance Supplement provides information on the existing, important compliance requirements that the federal government expects to be considered as a part of such audit. For example, the SLFRF Compliance Supplement describes an alternative to the Single Audit for eligible recipients. Recipients should consult the Compliance Supplement for more information about the alternative compliance examination engagement. The Compliance Supplement is routinely updated, and is made available in the Federal Register and on OMB's website: <https://www.whitehouse.gov/omb/office-federal-financial-management/>. Recipients and subrecipients should consult the Federal Audit Clearinghouse to see examples of Single Audit submissions.
4. **Civil Rights Compliance.** Recipients of Federal financial assistance from the Treasury are required to meet legal requirements relating to nondiscrimination and nondiscriminatory use of Federal funds. Those requirements include ensuring that entities receiving Federal financial assistance from the Treasury do not deny benefits or services, or otherwise discriminate on the basis of race, color, national origin (including limited English proficiency), disability, age, or sex (including sexual orientation and gender identity), in accordance with the following authorities: Title VI of the Civil Rights Act of 1964 (Title VI) Public Law 88-352, 42 U.S.C. 2000d-1 et seq., and the Department's implementing regulations, 31 CFR part 22; Section 504 of the Rehabilitation Act of 1973 (Section 504), Public Law 93-112, as amended by Public Law 93-516, 29 U.S.C. 794; Title IX of the Education Amendments of 1972 (Title IX), 20 U.S.C. 1681 et seq., and the Department's implementing regulations, 31 CFR part 28; Age Discrimination Act of 1975, Public Law 94-135, 42 U.S.C. 6101 et seq., and the Department implementing regulations at 31 CFR part 23.

In order to carry out its enforcement responsibilities under Title VI of the Civil Rights Act, Treasury will collect and review information from recipients to ascertain their compliance with the applicable requirements before and after providing financial assistance. Treasury's implementing regulations, 31 CFR part 22, and the Department of Justice (DOJ) regulations, Coordination of Non-discrimination in Federally Assisted Programs, 28 CFR part 42, provide for the collection of data and information from recipients (see 28 CFR 42.406). Treasury may request that non-tribal recipients submit data for post-award compliance reviews, including information such as a

⁵ See flexibility provided in https://www.whitehouse.gov/wp-content/uploads/2021/03/M_21_20.pdf.

⁶ For-profit entities that receive SLFRF subawards are not subject to Single Audit requirements. However, they are subject to other audits as deemed necessary by authorized governmental entities, including Treasury and Treasury's OIG.



narrative describing their Title VI compliance status. As explained in Treasury FAQ 12.1, the award terms and conditions for Treasury's pandemic recovery programs, including the SLFRF program, do not impose antidiscrimination requirements on Tribal governments beyond what would otherwise apply under federal law.



Part 2: Reporting Guidance

There are three types of reporting requirements for the SLFRF program. The report requirements are approved and documented under OMB PRA number - OMB # 1505-0271.

- **Interim Report:** Provide initial overview of status and uses of funding. This is a one-time report. See Section A, page 18.
- **Project and Expenditure Report:** Report on projects funded, expenditures, and contracts and subawards equal to or greater than \$50,000, and other information. See Section B, page 19.
- **Recovery Plan Performance Report:** The Recovery Plan Performance Report (the "Recovery Plan") will provide information on the projects that large recipients are undertaking with program funding and how they plan to ensure program outcomes are achieved in an effective, efficient, and equitable manner. It will include key performance indicators identified by the recipient and some mandatory indicators identified by Treasury. The Recovery Plan will be posted on the website of the recipient as well as provided to Treasury. See Section C, page 40.

The reporting threshold is based on the total award amount allocated by Treasury under the SLFRF program, not the funds received by the recipient as of the time of reporting.

States and territories are also required to submit information on their distributions to NEUs. Please refer to Section D for additional details.



Table 2: Reporting requirements by recipient type

Tier	Recipient	Interim Report	Project and Expenditure Report	Recovery Plan Performance Report
1	States, U.S. territories, metropolitan cities and counties with a population that exceeds 250,000 residents	By August 31, 2021 or 60 days after receiving funding if funding was received by October 15, with expenditures by category.	By January 31, 2022, and then the last day of the month after the end of each quarter thereafter.	By August 31, 2021 or 60 days after receiving funding, and annually thereafter by July 31.
2	Metropolitan cities and counties with a population below 250,000 residents that are allocated more than \$10 million in SLFRF funding, and NEUs that are allocated more than \$10 million in SLFRF funding	<i>Note: NEUs were not required to submit an Interim Report</i>	<i>Note: NEUs were not required to submit a Project and Expenditure Report on January 31, 2022. The first reporting date for NEUs was April 30, 2022.</i>	
3	Tribal Governments that are allocated more than \$30 million in SLFRF funding			
4	Tribal Governments that are allocated less than \$30 million in SLFRF funding		By April 30, 2022, and then annually thereafter	
5	Metropolitan cities and counties with a population below 250,000 residents that are allocated less than \$10 million in SLFRF funding, and NEUs that are allocated less than \$10 million in SLFRF funding			

Note: Based on the period of performance, reports will be collected through April 30, 2027. See the specific due dates listed in Sections B and C.

As mentioned above, the total SLFRF allocations across all sources for a given jurisdiction will be used to identify that jurisdiction's Reporting Tier, beginning in April of 2022. Treasury may reach out to jurisdictions to update Reporting Tiers.

The remainder of this document describes these reporting requirements. User guides describing how and where to submit required reports are posted at www.treasury.gov/SLFRPReporting and updated on a regular basis.



Comparison to reporting for the CRF

This guidance does not change the reporting or compliance requirements pertaining to the CRF. Reporting and compliance requirements for the SLFRF are separate from CRF reporting requirements. Differences between CRF and SLFRF include:

- **Project, Expenditure, and Subaward Reporting:** The SLFRF reporting requirements leverage the existing reporting regime used for CRF to foster continuity and provide many recipients with a familiar reporting mechanism. The data elements for the Project and Expenditure Report will largely mirror those used for CRF, with some minor exceptions noted in this guidance. The users' guide will describe how reporting for CRF funds will relate to reporting for the SLFRF.
- **Timing of Reports:** CRF reports were due within 10 days of each calendar quarter end. For quarterly reporters, SLFRF reporting will be due the last day of the month following the end of the period covered. For annual reporters, SLFRF reporting will be due on an annual schedule (see table in Section B below).
- **Program and Performance Reporting:** The CRF reporting did not include any program or performance reporting. To build public awareness and accountability and allow Treasury to monitor compliance with eligible uses, some program and performance reporting is required for SLFRF.

A. Interim Report

Note: The Interim Reports were submitted under the 2021 IFR.

States, U.S. territories, metropolitan cities, counties, and Tribal governments were required to submit a one-time interim report with expenditures⁷ by Expenditure Category covering the period from March 3rd to July 31, 2021, by August 31, 2021 or sixty (60) days after first receiving funding if the recipient's date of award was between July 15, 2021 and October 15, 2021. The recipient was required to enter obligations⁸ and expenditures and, for each, select the specific expenditure category from the available options. See Appendix 3 for Expenditure Categories applicable for the Interim Report.

1. Required Programmatic Data

Recipients were also required to provide the following information if they had or planned to have expenditures in the following Expenditure Categories.

- a. **Revenue replacement (EC 6.1⁹):** Key inputs into the revenue replacement formula in the 2021 IFR and estimated revenue loss due to the COVID-19 public health emergency calculated using the formula in the 2021 IFR as of December 31, 2020.
 - Base year general revenue (e.g., revenue in the last full fiscal year prior to the public health emergency)
 - Fiscal year end date
 - Growth adjustment used (either 4.1 percent or average annual general revenue growth over 3 years prior to pandemic)
 - Actual general revenue as of the twelve months ended December 31, 2020

⁷ For purposes of reporting in the SLFRF portal, an expenditure is the amount that has been incurred as a liability of the entity (the service has been rendered or the good has been delivered to the entity).

⁸ For purposes of reporting in the SLFRF portal, an obligation is an order placed for property and services, contracts and subawards made, and similar transactions that require payment.

⁹ See Appendix 3 for the full Expenditure Category (EC) list. Please note that Appendix 3 includes the expenditure categories under the 2021 IFR, applicable to the Interim Report.



- Estimated revenue loss due to the COVID-19 public health emergency as of December 31, 2020
- An explanation of how revenue replacement funds were allocated to government services (Note: additional instructions was provided in the user guide)

In calculating general revenue and the other items discussed above, recipients should have used audited data if it was available. When audited data was not available, recipients were not required to obtain audited data if substantially accurate figures could be produced on an unaudited basis. Recipients should have used their own data sources to calculate general revenue and did not need to rely on revenue data published by the Census Bureau. Treasury acknowledges that due to differences in timing, data sources, and definitions, recipients' self-reported general revenue figures may differ from those published by the Census Bureau. Recipients were permitted to provide data on a cash, accrual, or modified accrual basis, provided that recipients are consistent in their choice of methodology throughout the covered period and until reporting is no longer required. Recipients' reporting should align with their own financial reporting.

In calculating general revenue, recipients should have excluded all intergovernmental transfers from the federal government. This includes, but is not limited to, federal transfers made via a State to a locality pursuant to the CRF or SLFRF. To the extent federal funds are passed through States or other entities or intermingled with other funds, recipients should have attempted to identify and exclude the federal portion of those funds from the calculation of general revenue on a best-efforts basis.

Consistent with the broad latitude provided to recipients to use funds for government services to the extent of reduction in revenue, recipients were required to submit a description of services provided. This description may be in narrative or in another form, and recipients were encouraged to report based on their existing budget processes and to minimize administrative burden. For example, a recipient with \$100 in revenue replacement funds available could indicate that \$50 were used for law enforcement operating expenses and \$50 were used for pay-go building of sidewalk infrastructure. As discussed in the 2021 IFR, these services can include a broad range of services but may not be used directly for pension deposits or debt service.

Reporting requirements did not require tracking the indirect effects of Fiscal Recovery Funds, apart from the restrictions on use of Fiscal Recovery Funds to offset a reduction in net tax revenue. In addition, recipients were required to indicate that Fiscal Recovery Funds were not used to make a deposit in a pension fund.

B. Project and Expenditure Report

All recipients are required to submit Project and Expenditure Reports.

Note on NEUs: To facilitate reporting, each NEU will need an NEU Recipient Number. This is a unique identification code for each NEU assigned by the State or territory to the NEU as part of its request for funding.

1. Quarterly Reporting

The following recipients are required to submit quarterly Project and Expenditure Reports:

- States and U.S. territories
- Tribal governments that are allocated more than \$30 million in SLFRF funding
- Metropolitan cities and counties with a population that exceeds 250,000 residents



- Metropolitan cities and counties with a population below 250,000 residents that are allocated more than \$10 million in SLFRF funding and NEUs that are allocated more than \$10 million in SLFRF funding

For these recipients, the initial quarterly Project and Expenditure Report covered three calendar quarters from March 3, 2021 to December 31, 2021 and was required to be submitted to Treasury by January 31, 2022. The subsequent quarterly reports will cover one calendar quarter and must be submitted to Treasury by the last day of the month following the end of the period covered. Quarterly reports are not due concurrently with applicable annual reports. Table 3 summarizes the quarterly report timelines:

Table 3: Quarterly Project and Expenditure Report Timeline

Report	Year	Quarter	Period Covered	Due Date
1	2021	2 – 4	March 3 – December 31	January 31, 2022
2	2022	1	January 1 – March 31	April 30, 2022
3	2022	2	April 1 – June 30	July 31, 2022
4	2022	3	July 1 – September 30	October 31, 2022
5	2022	4	October 1 – December 31	January 31, 2023
6	2023	1	January 1 – March 31	April 30, 2023
7	2023	2	April 1 – June 30	July 31, 2023
8	2023	3	July 1 – September 30	October 31, 2023
9	2023	4	October 1 – December 31	January 31, 2024
10	2024	1	January 1 – March 31	April 30, 2024
11	2024	2	April 1 – June 30	July 31, 2024
12	2024	3	July 1 – September 30	October 31, 2024
13	2024	4	October 1 – December 31	January 31, 2025
14	2025	1	January 1 – March 31	April 30, 2025
15	2025	2	April 1 – June 30	July 31, 2025
16	2025	3	July 1 – September 30	October 31, 2025
17	2025	4	October 1 – December 31	January 31, 2026
18	2026	1	January 1 – March 31	April 30, 2026
19	2026	2	April 1 – June 30	July 31, 2026
20	2026	3	July 1 – September 30	October 31, 2026
21	2026	4	October 1 – December 31	April 30, 2027

2. Annual Reporting

The following recipients are required to submit annual Project and Expenditure Reports:

- Tribal governments that are allocated less than \$30 million in SLFRF funding
- Metropolitan cities and counties with a population below 250,000 residents that are allocated less than \$10 million in SLFRF funding and NEUs that are allocated less than \$10 million in SLFRF funding

For these recipients, the initial Project and Expenditure Report covered from March 3, 2021 to March 31, 2022 and was required to be submitted to Treasury by April 30, 2022. The subsequent annual reports will cover one calendar year and must be submitted to Treasury by April 30. Table 4 summarizes the annual report timelines:



Table 4: Annual Project and Expenditure Report timeline

Report	Period Covered	Due Date
1	March 3, 2021 – March 31, 2022	April 30, 2022
2	April 1, 2022 – March 31, 2023	April 30, 2023
3	April 1, 2023 – March 31, 2024	April 30, 2024
4	April 1, 2024 – March 31, 2025	April 30, 2025
5	April 1, 2025 – March 31, 2026	April 30, 2026
6	April 1, 2026 – December 31, 2026	April 30, 2027

3. Required Information

The following information is required in Project and Expenditure Reports for both quarterly and annual reporting:

Projects: Provide information on all SLFRF funded projects. Projects are defined as a grouping of closely related activities that together are intended to achieve a specific goal or are directed toward a common purpose. These activities can include new or existing eligible government services or investments funded in whole or in part by SLFRF funding. For each project, the recipient is required to enter the project name, identification number (created by the recipient), project expenditure category (see Appendix 1), description, and status of completion. Project descriptions must describe the project in sufficient detail to provide an understanding of the major activities that will occur, and must be between 50 and 250 words.

Project descriptions for the emergency relief from natural disasters eligible use category must describe the natural disaster the recipient is responding to, including the type of event, and how the emergency relief is related to and reasonably proportional to the natural disaster.

- a. Projects should be defined to include only closely related activities directed toward a common purpose. Recipients should review the Required Programmatic Data described in 3.g. below and define their projects at a sufficient level of granularity.

Note: For each project, the recipient is asked to select the appropriate Expenditure Category based on the scope of the project (see Appendix 1). Projects should be scoped to align to a single Expenditure Category. For select Expenditure Categories, the recipient also is asked to provide additional programmatic data (described further below).

- b. Obligations and Expenditures: Once a project is entered the recipient will be able to report on the project's obligations and expenditures. Recipients will be asked to report:
 - Current period obligation
 - Cumulative obligation
 - Current period expenditure
 - Cumulative expenditure
- c. Project Status: Once a project is entered the recipient will be asked to report on project status each reporting period, in four categories:
 - Not Started
 - Completed less than 50 percent
 - Completed 50 percent or more
 - Completed
- d. Program Income: Recipients should report the program income earned and expended to cover eligible project costs, if applicable.



- e. Adopted Budget (States, U.S. territories, metropolitan cities and counties with a population that exceeds 250,000 residents only): Each state, territory and metropolitan city and county with a population that exceeds 250,000 residents will provide the budget adopted for each project by its jurisdiction associated with SLFRF funds. Treasury will use this information to better understand the intended impact, identify opportunities for outreach, and understand the recipient's progress in program implementation. Treasury is not approving or pre-approving budgets.
 - Recipients will enter the Adopted Budget based on information that exists currently in the recipient's financial systems and the recipient's established budget process. Treasury understands that recipients may use different budget processes. For example, a recipient may consider a project budgeted once a legislature has appropriated funds; whereas another recipient may consider a project budgeted at the moment when the funds have been obligated.
 - Additional information is provided on the differences between Adopted Budget, Obligations, and Expenditures as part of the user guide posted at www.treasury.gov/SLFRPReporting.
- f. Project Demographic Distribution (applicable to Public Health and Negative Economic Impact ECs: EC 1.1-2.37)– Collection began April 2022

Recognizing the disproportionate public health and negative economic impacts of the pandemic on many households, communities, and other entities, recipients must report whether certain types of projects are targeted to impacted and disproportionately impacted communities. Recipients will be asked to respond to the following:

- a. What Impacted and/or Disproportionately Impacted population does this project primarily serve? Please select the population primarily served.
- b. If this project primarily serves more than one Impacted and/or Disproportionately Impacted population, please select up to two additional populations served.

Recipients will select from the following options:

	Impacted	Disproportionately Impacted
Public Health	<ul style="list-style-type: none"> • General Public 	
Assistance to Households	<ul style="list-style-type: none"> • Low- or-moderate income households or populations¹⁰ • Households that experienced unemployment • Households that experienced increased food or housing insecurity • Households that qualify for certain federal programs¹¹ 	<ul style="list-style-type: none"> • Low-income households and populations¹² • Households and populations residing in Qualified Census Tracts • Households that qualify for certain federal programs¹³ • Households receiving services provided by Tribal governments

¹⁰ Low or moderate-income households and communities are those with (i) income at or below 300 percent of the Federal Poverty Guidelines for the size of the household based on the most recently published poverty guidelines by the Department of Health and Human Services (HHS) or (ii) income at or below 65 percent of the Area Median Income for the county and size of household based on the most recently published data by the Department of Housing and Urban Development (HUD).

¹¹ For Impacted households, these programs are Children's Health Insurance Program ("CHIP"); Childcare Subsidies through the Child Care and Development Fund ("CCDF") Program; Medicaid; National Housing Trust Fund ("HTF"), for affordable housing programs only; Home Investment Partnerships Program ("HOME"), for affordable housing programs only.

¹² Low-income households and communities are those with (i) income at or below 185 percent of the Federal Poverty Guidelines for the size of the household based on the most recently published poverty guidelines by HHS or (ii) income at or below 40 percent of Area Median Income for its county and size of household based on the most recently published data by HUD.

¹³ For Disproportionately Impacted households, these programs are Temporary Assistance for Needy Families ("TANF"), Supplemental Nutrition Assistance Program ("SNAP"), Free- and Reduced-Price Lunch ("NSLP") and/or School Breakfast ("SBP") programs, Medicare Part D Low-Income Subsidies, Supplemental Security Income ("SSI"), Head Start, Special



	Impacted	Disproportionately Impacted
	<ul style="list-style-type: none"> For services to address lost instructional time in K-12 schools: any students that lost access to in-person instruction for a significant period of time Other households or populations that experienced a negative economic impact of the pandemic other than those listed above (please specify) 	<ul style="list-style-type: none"> Households residing in the U.S. territories or receiving services from these governments For services to address educational disparities, Title I eligible schools¹⁴ Other households or populations that experienced a disproportionate negative economic impact of the pandemic other than those listed above (please specify)
Assistance to Small Businesses	<ul style="list-style-type: none"> Small businesses that experienced a negative economic impact of the pandemic Classes of small businesses designated as negatively economically impacted by the pandemic (please specify) 	<ul style="list-style-type: none"> Small businesses operating in Qualified Census Tracts Small businesses operated by Tribal governments or on Tribal lands Small businesses operating in the U.S. territories Other small businesses disproportionately impacted by the pandemic (please specify)
Assistance to Non-Profits	<ul style="list-style-type: none"> Non-profits that experienced a negative economic impact of the pandemic (please specify) Classes of non-profits designated as negatively economically impacted by the pandemic (please specify) 	<ul style="list-style-type: none"> Non-profits operating in Qualified Census Tracts Non-profits operated by Tribal governments or on Tribal lands Non-profits operating in the U.S. territories Other non-profits disproportionately impacted by the pandemic (please specify)
Aid to Impacted Industries	<ul style="list-style-type: none"> Travel, tourism, or hospitality sectors (including Tribal development districts) Industry outside the travel, tourism, or hospitality sectors that experienced a negative economic impact of the pandemic (please specify) 	N/A

g. Subawards, Contracts, Grants, Loans, Transfers, and Direct Payments: Each recipient shall also provide detailed obligation and expenditure information for any contracts and grants awarded, loans issued, transfers made to other government entities, and direct payments made by the recipient that are equal to or greater than \$50,000. As noted in Treasury's Project & Expenditure User Guides, subaward reporting for funds spent under the revenue loss eligible use category has not been required in past reporting periods. Please note that as outlined in 2022 Final Rule FAQ

Supplemental Nutrition Program for Women, Infants, and Children ("WIC"), Section 8 Vouchers, Low-Income Home Energy Assistance Program ("LIHEAP"), and Pell Grants.

¹⁴ For educational services and other efforts to address educational disparities, Treasury will recognize Title I eligible schools as disproportionately impacted and responsive services that support the school generally or support the whole school service as eligible. "Title I eligible schools" means schools eligible to receive services under section 1113 of Title I, Part A of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 6313), including schools served under section 1113(b)(1)(C) of that Act.



13.14, Treasury is not collecting subaward data for projects categorized under the revenue loss eligible use category.

Recipients do not need to submit separate monthly subaward reports to FSRS.gov as required pursuant to the 2 CFR Part 170, Appendix A award term regarding reporting subaward and executive compensation, which is included in the SLFRF Award Terms and Conditions. Treasury will submit this reporting on behalf of recipients using the \$50,000 reporting threshold, timing, and data elements discussed in this guidance. If recipients choose to continue reporting to FSRS.gov in addition to reporting directly to Treasury on these funds, they may do so and will be asked to notify Treasury as part of their quarterly submission.

In general, recipients will be asked to provide the following information for each Contract, Grant, Loan, Transfer, or Direct Payment equal to or greater than \$50,000:

- Subrecipient identifying and demographic information (e.g., UEI/TIN number and location)
- Award number (e.g., Award number, Contract number, Loan number)
- Award date, type, amount, and description
- Award payment method (reimbursable or lump sum payment(s))
- For loans, expiration date (date when loan expected to be paid in full)
- Primary place of performance
- Related project name(s)
- Related project identification number(s) (created by the recipient)
- Period of performance start date
- Period of performance end date
- Quarterly obligation amount
- Quarterly expenditure amount
- Project(s)
- Additional programmatic performance indicators for select Expenditure Categories (see below)

Aggregate reporting is required for contracts, grants, transfers made to other government entities, loans, and direct payments that are below \$50,000. This information will be accounted for by Expenditure Category at the project level. Note that all obligations and expenditures made directly to individuals, regardless of dollar amount, should be included in aggregate reporting.

As required by the 2 CFR Part 170, Appendix A award term regarding reporting subaward and executive compensation, recipients must also report the names and total compensation of their five most highly compensated executives and their subrecipients' executives for the preceding completed fiscal year if (1) the recipient received 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as provided by 2 CFR 170.320 (and subawards), and received \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act (and subawards), and (2) if the information is not otherwise public. In general, most SLFRF recipients are governmental entities with executive salaries that are already disclosed, so no additional information would be required to be reported for them. The recipient is responsible for the subrecipients' compliance with registering and maintaining an updated profile on SAM.gov.

In accordance with the SLFRF Financial Assistance agreement, recipients must include a subrecipient's Unique Entity Identifier (UEI) in the SLFRF Project and Expenditure report. Beginning with the October 2023 report, subrecipients reported without a UEI will require recipients to select a justification for the missing UEI for the reported subrecipient. The justifications are as follows:

- Subrecipient facing delay in obtaining UEI from the U.S. General Services Administration
- Recipient was delayed in collecting a UEI from its subrecipient due to recipient's internal control issue and recipient must describe the internal control issue and planned corrective action.



- Recipient was unable to contact subrecipient:
 - Services the subrecipient provided were completed after April 4, 2022 and recipient is continuing to work to collect its subrecipient's UEI
 - Services the subrecipient provided were completed prior to April 4, 2022

Recipients will also be required to report a timeline for obtaining and reporting the UEI for all reasons excluding services that were completed prior to April 4, 2022.

- h. **Civil Rights Compliance:** Treasury will request information on recipients' compliance with Title VI of the Civil Rights Act of 1964, as applicable, on an annual basis. This information may include a narrative describing the recipient's compliance with Title VI, along with other questions and assurances. This collection does not apply to Tribal governments¹⁵
- i. **Ineligible Activities: Tax Offset Provision (States and territories only):** Section 602(c)(2)(A) of the Social Security Act prohibits a State or territory from using SLFRF funds to directly or indirectly offset a reduction in the net tax revenue of the State or territory resulting from a change in law, regulation, or administrative interpretation during the covered period (the "Tax Offset Provision"). The 2022 Final Rule implements the Tax Offset Provision at 31 CFR § 35.8. Violations of the Tax Offset Provision may be subject to recoupment. The following information is required for Treasury to ensure SLFRF funding is not used for ineligible activities related to the Tax Offset Provision.

For each reporting year, in the quarterly reporting cycle occurring 90 days after the end of the recipient's fiscal year, States and territories will report certain items related to the Tax Offset Provision, as detailed below. For example, if a recipient's fiscal year ends June 30, 2022, reporting on the Tax Offset Provision for fiscal year 2022 will be due in October 2022. All States and territories reported on the Tax Offset Provision for fiscal year 2021 in July 2022.

As indicated in the 2022 final rule, Treasury is implementing a tiered approach to reporting on the Tax Offset Provision, which is described below. Although Treasury is implementing a tiered approach to reporting, recipients should maintain records to support their compliance with the Tax Offset Provision.

The terms "reporting year," "baseline," "covered change," "covered period," "net reduction in total spending," and "tax revenue" are defined in the 2022 Final Rule, 31 CFR § 35.3. For purposes of calculating a net reduction in total spending, total spending for the fiscal year ending 2019 should be reported on an inflation-adjusted basis, consistent with the 2022 Final Rule. Similarly, for purposes of calculating baseline tax revenue, tax revenue for the fiscal year 2019 should be reported on an inflation-adjusted basis, consistent with the 2022 Final Rule.

For purposes of reporting actual tax revenue for the requested fiscal year and baseline tax revenue for the fiscal year ending 2019,¹⁶ (a) if available, recipients should report information using audited financials and (b) recipients may provide data on a cash, accrual, or modified accrual basis, but must be consistent in their approach across all reporting periods. Similarly, for purposes of calculating a net reduction in total spending, recipients should report data using audited financials where available.

Recipients will first answer a series of summary questions to determine the tiering of their tax offset reporting:

¹⁵ Please note, as explained in Treasury [FAQ 12.1](#), that the award terms and conditions for Treasury's pandemic recovery programs, including the SLFRF, do not impose antidiscrimination requirements on Tribal governments beyond what would otherwise apply under federal law.

¹⁶ Tax revenue for fiscal year ending 2019 is relevant for calculating the recipient's baseline.



Summary Questions

- Do you have revenue-reducing covered change(s) to report for the requested fiscal year and for future fiscal years? Yes/No
 - If no, recipients have no further reporting requirements in the tax offset section. (Remaining summary questions will be greyed out).
 - If yes, recipients will complete part 1 and additional fields.
- Is the aggregate value of your revenue-reducing covered change(s) for the requested fiscal year less than the de minimis? Yes/No.
 - If yes, recipients will complete parts 1 and 2, and no further reporting is required in the tax offset section. (Remaining summary questions will be greyed out).
 - If no, recipients will complete parts 1, 2 and additional fields.
- Do you have a reduction in net tax revenue for the requested fiscal year, meaning that actual tax revenue for the requested fiscal year is less than baseline tax revenue? Yes/No.
 - If yes, recipients will complete parts 1, 2, and 3 and additional fields.
 - If no, recipients will complete parts 1, 2, and 3, and no further reporting is required in the tax offset section. (Remaining summary questions will be greyed out).
- Do you have revenue-increasing covered change(s) and/or covered spending cuts to report for the requested fiscal year? Yes/No
 - If yes, recipients will complete parts 1, 2, 3, and 4.
 - If no, recipients will complete the revenue reduction cap.

Reporting Part 1: Revenue-reducing Covered Changes

- Do you have revenue-reducing covered change(s) to report for the requested fiscal year and for future fiscal years? Yes/No
 - If yes, complete grid or upload spreadsheet with the name of each revenue-reducing covered change and the value of the revenue-reducing covered change for the requested fiscal year and for future fiscal years.
 - If no, a recipient has no revenue-reducing covered changes to report, no additional reporting is required.
- Enter in the aggregate value of all revenue-reducing covered change(s) for the requested fiscal year.¹⁷

Revenue-reducing Covered Changes: Guidance

For each reporting year, a recipient must report the value of covered changes that the recipient predicts will have the effect of reducing tax revenue in a given reporting year (revenue-reducing covered changes), similar to the way it would in the ordinary course of its budgeting process. The value of these revenue-reducing covered changes may be reported based on estimated values produced by a budget model, incorporating reasonable assumptions, that aligns with the recipient government's existing approach for measuring the effects of fiscal policies, and that measures relative to a current law baseline. The revenue-reducing covered changes may also be reported based on actual values using a statistical methodology to isolate the change in year-over-year revenue attributable to the covered change(s), relative to the current law baseline prior to the change(s). Estimation approaches should not use dynamic methodologies that incorporate the projected effects of the policies on macroeconomic growth. In general and where possible, reported values should be produced by the agency of the recipient government responsible for estimating the costs and effects of fiscal policy changes. Recipients must maintain records regarding the identification and predicted effects of revenue-reducing covered changes.

¹⁷ The 2022 final rule defines covered change. "Covered change means a change in law, regulation, or administrative interpretation that reduces any tax (by providing for a reduction in a rate, a rebate, a deduction, a credit, or otherwise) or delays the imposition of any tax or tax increase. A change in law includes any final legislative or regulatory action, a new or changed administrative interpretation, and the phase-in or taking effect of any statute or rule if the phase-in or taking effect was not prescribed prior to the start of the covered period."



Reporting Part 2: Baseline Revenue and De Minimis Threshold

- Enter Baseline Revenue:
- Enter in the aggregate value of the revenue-reducing covered change(s) for the requested fiscal year as a percentage of baseline revenue:
- Is the aggregate value of the revenue-reducing covered change(s) for the requested fiscal year less than one percent of baseline revenue? Y/N
 - If yes, a recipient's aggregate value of the revenue-reducing covered changes in the reporting year is less than the *de minimis threshold*, and no additional reporting is required.

Baseline Revenue: Guidance

Baseline has the meaning defined in the 2022 Final Rule, 31 CFR 35.3.

Recipients must determine whether the aggregate value of the revenue-reducing covered changes in the reporting year is less than one percent of baseline revenue (the *de minimis threshold*).

Reporting Part 3: Actual Tax Revenue and Reduction in Net Tax Revenue.

- Enter Actual Tax Revenue for the requested fiscal year:
- Enter Reduction in Net Tax Revenue: baseline revenue minus actual tax revenue
 - If the value of the reduction in net tax revenue is zero or negative (meaning that actual tax revenue is equal to or greater than baseline revenue), no additional reporting is required.

Actual Tax Revenue: Guidance

Actual tax revenue means the tax revenue received by the recipient government in the reporting year. Tax revenue has the meaning defined in the 2022 Final Rule, 31 CFR 35.3.

Reduction in Net Tax Revenue: Guidance

The reduction in net tax revenue is equal to baseline revenue minus actual tax revenue in each reporting year. If this value is zero or negative, there is no reduction in net tax revenue.

Reporting Part 4: Revenue-increasing Covered Changes and Covered Spending Cuts

- Do you have revenue-increasing covered change(s) and/or covered spending cuts to report for the requested fiscal year? Yes/No.
- If yes, complete grid or upload spreadsheet with the name of each revenue-increasing covered change and the value.
- Enter in the aggregate value of revenue-increasing covered change(s):
 - Enter net reduction in total spending for the requested fiscal year:
 - Complete grid or upload spreadsheet of specific spending cuts and the corresponding "reporting unit", including the name of the reporting unit, description of the spending cut, the amount of the reduction in spending in the reporting unit for the reporting year relative to its inflation-adjusted FY 2019 level, the amount of any Fiscal Recovery Funds spent in the reporting unit in the reporting year, and the amount by which the reduction in spending in the reporting unit in the reporting year exceeds the Fiscal Recovery Funds spent in the reporting unit in the reporting year, if at all.
 - Enter the aggregate value of covered spending cuts.
 - Enter the aggregate value of revenue-increasing covered changes + the aggregate value of covered spending cuts.
 - Enter the total value of revenue-reducing covered changes minus the total of (aggregate value of revenue-increasing covered changes + aggregate value of covered spending cuts).



- Is the aggregate value of revenue-reducing covered changes minus the total of (aggregate value of revenue-increasing changes + aggregate value of covered spending cuts) negative or equal to zero? (Yes/No)
 - If yes, recipients have no further reporting requirements related to the Tax Offset Provision.
 - If no, recipients must move on to the calculation of the revenue reduction cap.

Revenue-increasing covered changes: Guidance

If a recipient has revenue-reducing covered changes, the aggregate value of which exceed the de minimis threshold, and its actual tax revenue does not exceed baseline tax revenue, a recipient must report the value of covered changes that have had or that the recipient predicts will have the effect of increasing tax revenue in a given reporting year (revenue-increasing covered changes), similar to the way it would in the ordinary course of its budgeting process. The value of these revenue-increasing covered changes may be reported based on estimated values produced by a budget model, incorporating reasonable assumptions, that aligns with the recipient's existing approach for measuring the effects of fiscal policies, and that measures relative to a current law baseline. The revenue-increasing covered changes may also be reported based on actual values using a statistical methodology to isolate the change in year-over-year revenue attributable to the revenue-increasing covered change(s), relative to the current law baseline prior to the change(s). Estimation approaches should not use dynamic methodologies that incorporate the projected effects of the policies on macroeconomic growth. In general and where possible, reporting should be produced by the agency of the recipient responsible for estimating the costs and effects of fiscal policy changes. Recipients should maintain records regarding revenue-increasing covered changes and estimates of such changes.

Net reduction in total spending, and tables of specific spending cuts: Guidance

Recipients may cut spending in certain areas to pay for revenue-reducing covered changes, up to the amount of the recipient's net reduction in total spending. To calculate the amount of spending cuts that are available to offset a reduction in tax revenue, the recipient must first consider whether there has been a reduction in total net spending, excluding Fiscal Recovery Funds (net reduction in total spending). As defined in the 2022 Final Rule, 35 CFR 35.3, net reduction in total spending is measured as the recipient government's total spending for a given reporting year excluding Fiscal Recovery Funds, subtracted from its total spending for its fiscal year ending in 2019, adjusted for inflation using the Bureau of Economic Analysis's Implicit Price Deflator for the gross domestic product of the United States for that reporting year. If that calculation yields a positive value, there has been a net reduction in total spending; if it yields zero or a negative value, there has not been a net reduction in total spending. If there has been no net reduction in total spending, a recipient will have no spending cuts to offset a reduction in net tax revenue.

Next, a recipient must determine and aggregate the value of spending cuts in each "reporting unit." "Reporting units" are departments, agencies, or authorities of the recipient's government. For each reporting unit, the recipient must report (1) the amount of the reduction in spending in the reporting unit for the reporting year relative to its inflation-adjusted FY 2019 level, (2) the amount of any Fiscal Recovery Funds spent in the reporting unit in the reporting year, and (3) the amount by which the reduction in spending in the reporting year exceeds the Fiscal Recovery funds spent in the reporting unit in the reporting year. If a recipient has not spent amounts received from the Fiscal Recovery Funds in a reporting unit, the full amount of the reduction in spending counts as a covered spending cut and may be included in the aggregate value of spending cuts. If the recipient has spent amounts received from the Fiscal Recovery Funds, such amounts generally would be deemed to have replaced the amount of spending cut, and only reductions in spending above the amount of Fiscal Recovery Funds spent on the reporting unit would be eligible to offset a reduction in net tax revenue. Only such amounts



above the amount of Fiscal Recovery Funds spent on the reporting unit should be included in the aggregate value of spending cuts.

To align with existing reporting and accounting, the 2022 Final Rule considers the department, agency, or authority from which spending has been cut and whether the recipient government has spent amounts received from the Fiscal Recovery Funds on that same department, agency, or authority. Some commenters on the 2021 interim final rule argued that the methodology for identifying offsetting spending cuts at the department, agency, or authority level was too restrictive, but as discussed in the 2022 final rule, Treasury maintained the approach of requiring this reporting at the department, agency, or authority level. Recipients are encouraged to define reporting units in a manner consistent with their existing budget process and should, to the extent possible, report using the same reporting unit in each reporting year. Spending cuts must be reported relative to FY 2019 spending levels, adjusted for inflation, and excluding Fiscal Recovery Funds from reporting year spending levels.

Recipients should maintain records regarding spending cuts.

Reporting Part 5: Revenue Reduction Cap

The "revenue reduction cap," together with Part 3, ensures that recipient governments can use organic revenue growth to offset the cost of revenue-reducing covered changes. If, based on the calculations completed so far, a recipient has not yet demonstrated how its revenue-reducing covered changes were offset by non-SLFRF sources, the reporting portal will auto-calculate the revenue reduction cap, which will be the lesser of the following two amounts:

- Reduction in Net Tax Revenue (baseline tax revenue minus actual tax revenue) [pre-populated from Part 3] and
- Aggregate Value of revenue-reducing covered changes minus (total of (aggregate value of revenue-increasing changes + aggregate value of covered spending cuts) [pre-populated from Part 4].

- j. Required Programmatic Data (other than water, sewer, and broadband infrastructure projects):
For all projects listed under the following Expenditure Categories (see Appendix 1), the information listed must be provided in each report.

1. Public Health and Negative Economic Impact (EC 1.1-3.5) - Collection began in April 2022

- Brief description of structure and objectives of assistance program(s), including public health or negative economic impact experienced
- Brief description of how a recipient's response is related and reasonably proportional to a public health or negative economic impact of COVID-19.¹⁸

Note: The 2022 final rule presumes that all enumerated eligible uses for programs and services, including COVID-19 mitigation and prevention programs and services, are reasonably proportional responses to the harm identified unless a response is grossly disproportionate to the type or extent of harm experienced. Many of the Eligibility Categories encompass multiple specific enumerated eligible uses and may be provided to a variety of populations. For example, EC 2.13 *Healthy Childhood Environments: Services to Foster Youth or Families Involved in Child Welfare System* includes a wide array of financial, educational, child development, or health supports, or other supports necessary, including supports for kinship care, and may be provided to foster youth and/or families involved in the child welfare system. Between these two fields above, recipients should provide enough information to identify the type of enumerated eligible use being provided within the EC (e.g., kinship care support services), the public health or economic impact experienced, who the program and/or service is being provided to, and what services are

¹⁸ Please note that capital expenditures are not considered "programs and services" and are not presumed to be reasonably proportional responses to an identified harm except as provided in the 2022 final rule.



being provided (e.g., respite resources). For enumerated eligible uses, recipients are not required to provide substantive documentation that the response is related and reasonably proportional in the Project and Expenditure Report.

2. Capital Expenditures (EC 1.1-3.5) - *Collection began in January 2022, with additional fields required starting in July 2022*

- Does this project include a capital expenditure? (*Collection began in January 2022*)
- Total expected capital expenditure, including pre-development costs, if applicable (*Collection began in January 2022*)
- Type of capital expenditure, based on the following enumerated uses (*Collection began in July 2022*):
 - COVID-19 testing sites and laboratories, and acquisition of related equipment
 - COVID-19 vaccination sites
 - Medical facilities generally dedicated to COVID-19 treatment and mitigation (e.g., emergency rooms, intensive care units, telemedicine capabilities for COVID-19 related treatment)
 - Temporary medical facilities and other measures to increase COVID-19 treatment capacity, including related construction costs
 - Acquisition of equipment for COVID-19 prevention and treatment, including ventilators, ambulances, and other medical or emergency services equipment
 - Emergency operations centers and acquisition of emergency response equipment (e.g., emergency response radio systems)
 - Installation and improvement of ventilation systems in congregate settings, health facilities, or other public facilities
 - Public health data systems, including technology infrastructure
 - Adaptations to congregate living facilities, including skilled nursing facilities, other long-term care facilities, incarceration settings, homeless shelters, residential foster care facilities, residential behavioral health treatment, and other group living facilities, as well as public facilities and schools (excluding construction of new facilities for the purpose of mitigating spread of COVID-19 in the facility)
 - Mitigation measures in small businesses, nonprofits, and impacted industries (e.g., developing outdoor spaces)
 - Behavioral health facilities and equipment (e.g., inpatient or outpatient mental health or substance use treatment facilities, crisis centers, diversion centers)
 - Technology and equipment to allow law enforcement to efficiently and effectively respond to the rise in gun violence resulting from the pandemic
 - Affordable housing, supportive housing, or recovery housing development
 - Food banks and other facilities primarily dedicated to addressing food insecurity
 - Transitional shelters (e.g., temporary residences for people experiencing homelessness)
 - Devices and equipment that assist households in accessing the internet (e.g., tablets, computers, or routers)
 - Childcare, daycare, and early learning facilities
 - Job and workforce training centers
 - Improvements to existing facilities to remediate lead contaminants (e.g., removal of lead paint)
 - Medical equipment and facilities designed to address disparities in public health outcomes (includes primary care clinics, hospitals, or integrations of health services into other settings)
 - Parks, green spaces, recreational facilities, sidewalks, pedestrian safety features like crosswalks, streetlights, neighborhood cleanup, and other projects to revitalize public spaces
 - Rehabilitations, renovation, remediation, cleanup, or conversions of vacant or abandoned properties



- Schools and other educational facilities or equipment to address educational disparities
 - Technology and tools to effectively develop, execute, and evaluate government programs
 - Technology infrastructure to adapt government operations to the pandemic (e.g., video-conferencing software, improvements to case management systems or data sharing resources), reduce government backlogs, or meet increased maintenance needs
 - Other (please specify)
- For recipients (other than Tribal governments) investing in projects with total expected capital expenditures for an enumerated eligible use of \$10 million or more, as well as projects with total expected capital expenditures for an "other" use of \$1 million or more, provide a written justification (*Collection began in July 2022*)
 - For projects with total expected capital expenditures of over \$10 million, provide labor reporting as outlined for infrastructure projects on pages 37 and 38 (*Collection began July 2022*)
3. Household Assistance (EC 2.1-2.8) – *Collection began January 2022:*
- Number of households served (by program if recipient establishes multiple separate household assistance programs)
4. Small Business Economic Assistance (EC 1.8, 2.29-2.33) – *Collection began April 2022*
- Number of small businesses served (by program if recipient establishes multiple separate small business assistance programs)
5. Assistance to Non-Profits (EC 1.9, 2.34)- *Collection began April 2022*
- Number of Non-Profits served (by program if recipient establishes multiple separate non-profit assistance programs)
6. Aid to Travel, Tourism, and Hospitality or Other Impacted Industries (EC 1.10, 2.35-2.36) – *Collection began April 2022:*
- If aid is provided to industries other than travel, tourism, and hospitality (EC 2.36), describe if the industry experienced at least 8 percent employment loss from pre-pandemic levels, or the industry is experiencing comparable or worse economic impacts as the national tourism, travel, and hospitality industries as of the date of the 2022 final rule, and rationale for providing aid to the industry
 - For each subaward:
 - Sector of employer (Note: additional detail, including list of sectors, to be provided in the user guide posted to www.treasury.gov/SLFRP)
 - Purpose of funds (e.g., payroll support, safety measure implementation)
7. Education Assistance (EC 2.14, 2.24-2.27) – *Collection began in January 2022:*
- The National Center for Education Statistics ("NCES") School ID or NCES District ID. List the School District if all schools within the school district received some funds. If not all schools within the school district received funds, list the School ID of the schools that received funds. These can allow evaluators to link data from the NCES to look at school-level demographics and, eventually, student performance.¹⁹

¹⁹ For more information on NCES identification numbers see <https://nces.ed.gov/ccd/districtsearch/> (districts) and <https://nces.ed.gov/ccd/schoolsearch/> (schools).



8. Payroll for Public Health and Safety Employees (EC 3.1) – *Collection began in January 2022:*
 - Number of government FTEs responding to COVID-19 supported under this authority
9. Rehiring Public Sector Staff (EC 3.2) – *Collection began in January 2022:*
 - Number of FTEs rehired by governments under this authority
10. Premium Pay (both Public Sector EC 4.1 and Private Sector EC 4.2) – *Collection began in January 2022; additional field began in April 2022*
 - List of sectors designated as critical to protecting the health and well-being of residents by the chief executive of the jurisdiction, if beyond those included in the 2022 final rule (*Collection began January 2022*)
 - Number of workers to be served (*Collection began January 2022*)
 - Employer sector for all subawards to third-party employers (i.e., employers other than the State, local, or Tribal government) (*Collection began January 2022*)
 - For groups of workers (e.g., an operating unit, a classification of worker, etc.) or, to the extent applicable, individual workers, other than those where the eligible worker receiving premium pay is earning (with the premium pay included) below 150 percent of their residing state or county's average annual wage for all occupations, as defined by the Bureau of Labor Statistics Occupational Employment and Wage Statistics, whichever is higher, on an annual basis; OR the eligible worker receiving premium pay is not exempt from the Fair Labor Standards Act overtime provisions:
 - A brief written narrative justification of how the premium pay or grant is responsive to workers performing essential work during the public health emergency. This could include a description of the essential workers' duties, health or financial risks faced due to COVID-19, and why the recipient government determined that the premium pay was responsive to workers performing essential work during the pandemic. This description should not include personally identifiable information; when addressing individual workers, recipients should be careful not to include this information. Recipients may consider describing the workers' occupations and duties in a general manner as necessary to protect privacy (*Collection began January 2022*)
 - Number of workers to be served with premium pay in K-12 schools (*Collection began April 2022*)
11. Revenue replacement (EC 6.1) – *Collection began in August 2021:*

As outlined in the 2022 final rule, recipients have the option to make a one-time decision to calculate revenue loss according to the formula outlined in the 2022 final rule or elect a "Standard Allowance" of up to \$10 million, not to exceed the award allocation, to spend on government services throughout the period of performance. The option to make this one-time decision was provided during the April 30, 2022 reporting deadline. Recipients may update their revenue loss determination, as appropriate, through the April 2025 reporting period. Upon update, any prior revenue loss election will be superseded. Recipients must use a consistent methodology across the period of performance (i.e., choose either the standard allowance or the full formula) and may not elect one approach for certain reporting years and the other approach for different reporting years.

For recipients electing the "Standard Allowance," Treasury will presume that up to \$10 million, not to exceed the award allocation, in revenue has been lost due to the public health emergency. Recipients are permitted to use that amount to fund "government services." Please note that electing the standard allowance does not change a recipient's total allocation. Recipients that elect to use this standard allowance will make this election instead of calculating lost revenue using the formula.



For recipients calculating revenue loss according to the formula, the 2022 final rule permits recipients to choose whether to use calendar or fiscal year calculation dates. Recipients must use the same calculation time frame (calendar or fiscal year) throughout the award period.

Recipients calculating lost revenue using the formula should report the following:

- Choice of fiscal or calendar year revenue loss (choice must remain consistent throughout award period)
- General revenue collected over the past 12 months as of the most recent calculation date, as outlined in the 2022 final rule.
- Calculated revenue loss due to the COVID-19 public health emergency; and
- An explanation of how the revenue replacement funds were allocated to government services (note: additional instructions and/or template provided in the user guide posted at www.treasury.gov/SLFRPReporting).

For information on treatment of future tax changes, please see the [Statement Regarding Compliance with the Coronavirus State and Local Fiscal Recovery Funds Interim Final Rule and Final Rule](#).

12. Emergency Relief from Natural Disasters (EC 8) – Collection began October 2023:

For EC 8.1-8.11

- Identify the natural disaster declaration or designation
 - Emergency Declaration or Major Declaration pursuant to the Robert T. Stafford Disaster Relief and Emergency Assistance Act
 - If responding to a natural disaster that is the subject of an emergency declaration pursuant to the Robert T. Stafford Disaster Relief and Emergency Assistance Act:
 - Provide the declaration identification number;
 - Have SLFRF funds provided financial assistance to a person, business concern, or other entity with respect to disaster losses? If providing financial assistance to a person, business concern, or other entity with respect to disaster losses, recipients are responsible for ensuring compliance with the duplication of benefits requirements described in the interim final rule at 31 CFR 35.6(g)(3). Disaster losses are losses suffered as a result of a major disaster or emergency declared under the Stafford Act.
 - Emergency declaration by the Governor of a state pursuant to respective state law without a Stafford Act Declaration
 - Emergency declaration by a Tribal government without a Stafford Act Declaration
Designation of an event of a natural disaster by the chief executive or equivalent of recipient government with the event meeting the definition of natural disaster that does not also have a Stafford Act Declaration

For EC 8.6, 8.7, 8.12, 8.13

- Does this project include a capital expenditure?
- Total expected cost of capital expenditures funded with SLFRF in a project, including pre-development costs, if applicable
- For projects with total expected capital expenditures of over \$10 million, provide labor reporting as outlined for infrastructure projects on pages 37 and 38
- For EC 8.12 (not EC 8.6, 8.7, 8.13): For recipients (except for Tribal governments) using SLFRF for mitigation activities with SLFRF-funded capital expenditures over \$1 million, provide a written justification. Recipients that incorporate mitigation



activities into repairing public infrastructure or home repairs should report their projects in EC 8.12.

13. Surface Transportation (EC 9) – *Collection began October 2023 (Additional fields may be phased in through future reporting periods):*

- EC 9.1-9.3: Supplement, Not Supplant Attestation: The SLFRF funds used for this project are supplementing not supplanting other federal, state, territorial, Tribal, and local government funds (as applicable) that are otherwise available for these projects.
- EC 9.1: Surface Transportation Projects Receiving Funding from Department of Transportation (DOT)
 - Select the relevant program under which your DOT-funded project falls (check one box):
 - INFRA Grants
 - National Highway Performance Program (NHPP)
 - Bridge Investment Program (BIP)
 - Surface Transportation Block Grant Program (STBG)
 - Highway Safety Improvement Program (HSIP)
 - Congestion Mitigation and Air Quality Improvement Program (CMAQ)
 - Charging and Fueling Infrastructure Discretionary Grant Program (CFI Program)
 - Territorial and Puerto Rico Highway Program
 - National Highway Freight Program (NHFP)
 - Rural Surface Transportation Grant Program
 - Carbon Reduction Program (CRP)
 - Promoting Resilient Operations for Transformative, Efficient, and Cost-Saving Transportation (PROTECT)
 - Tribal Transportation Program (TTP)
 - Federal Lands Transportation Program (FLTP)
 - Federal Lands Access Program (FLAP)
 - Rebuilding American Infrastructure with Sustainability and Equity (RAISE) Grant Program
 - Transportation Infrastructure Finance and Innovation Act (TIFIA)
 - Urbanized Formula Grants
 - Fixed Guideway Capital Investment Grants
 - Formula Grants for Rural Areas
 - State of Good Repair Grants
 - Grants for Buses and Bus Facilities
 - National culvert removal, replacement, and restoration grant program (Culvert AOP Program)
 - Bridge Replacement, Rehabilitation, Preservation, Protection, and Construction Program (Bridge Formula Program or BFP)
 - Metropolitan transportation planning
 - Projects that further the completion of a designated route of the Appalachian Development Highway System (ADHS)
 - FAIN number(s) for associated DOT project
 - Was DOT consulted prior to using SLFRF funds for this project? Yes/No.
 - For States using funds for projects eligible under title 23 of the U.S. Code or otherwise subject to the requirements of title 23 of the U.S. Code, select whether the project will:



- Demonstrate progress in achieving a state of good repair as required by the State's asset management plan under 23 U.S.C. 119(e); and (Yes/No)
- Support the achievement of 1 or more performance targets of the State established under 23 U.S.C. 150. (Yes/No)
- This project is not a project eligible under title 23 of the U.S. Code or otherwise subject to the requirements of title 23 of the U.S. Code.
- Limitation on Operating Expenses Attestation (only for Urbanized Formula Grants, Fixed Guideway Capital Investment Grants, Formula Grants for Rural Areas, State of Good Repair Grants, or Grants for Buses and Bus Facilities): The SLFRF funds associated with this project are not being used for operating expenses.
- EC 9.2: Surface Transportation Projects Not Receiving Funding from DOT (Streamlined Framework)
 - Select the eligible project type from the 2023 RAISE Grant NOFO for which the recipient is using SLFRF funds.
 - Highway, bridge, or other road projects eligible under title 23 of the U.S. Code
 - Public transportation projects eligible under chapter 53 of title 49, U.S.C.
 - Passenger and freight rail transportation projects
 - Port infrastructure investments (including inland port infrastructure and land ports of entry)
 - The surface transportation components of an airport project eligible for assistance under part B of subtitle VII of title 49, U.S.C.
 - Intermodal projects
 - Projects to replace or rehabilitate a culvert or prevent stormwater runoff for the purpose of improving habitat for aquatic species while advancing the goals of the RAISE program
 - Projects investing in surface transportation facilities that are located on Tribal land and for which title or maintenance responsibility is vested in the Federal Government
 - Public road and non-motorized projects that are not otherwise eligible under title 23, United States Code
 - Transit-oriented development projects
 - Mobility on-demand projects that expand access and reduce transportation cost burden
 - Planning projects
 - For States using funds for projects eligible under title 23 of the U.S. Code or otherwise subject to the requirements of title 23 of the U.S. Code, select whether the project will:
 - Demonstrate progress in achieving a state of good repair as required by the State's asset management plan under 23 U.S.C. 119(e); and (Yes/No)
 - Support the achievement of 1 or more performance targets of the State established under 23 U.S.C. 150. (Yes/No)
 - This project is not a project eligible under title 23 of the U.S. Code or otherwise subject to the requirements of title 23 of the U.S. Code.
 - Environmental Impact Attestation: The entire project scope is limited to the set of actions or activities identified by DOT as meeting the criteria for categorical exclusion as listed under 23 CFR 771.116(c)(1)-(22), 771.117(c)(1)-(30), and



771.118(c)(1)-(16). These actions do not involve unusual circumstances, as described in 23 CFR 771.116(b), 771.117(b), and 771.118(b).

- Requirements Attestation: The project satisfies the requirements of titles 23, 40, and 49 of the U.S. Code that apply to this project and the associated DOT implementing regulations.
- Limitation on Operating Expenses Attestation (only for Urbanized Formula Grants, Fixed Guideway Capital Investment Grants, Formula Grants for Rural Areas, State of Good Repair Grants, or Grants for Buses and Bus Facilities): The SLFRF funds associated with this project are not being used for operating expenses.
- For EC 9.3: Non-federal share requirements for a Surface Transportation project or repaying a TIFIA loan
 - Select the DOT program for which you are using SLFRF funds to satisfy non-federal share requirements or to repay a TIFIA loan
 - INFRA Grants
 - Fixed Guideway Capital Investment Grants
 - Mega Grants
 - Projects eligible for credit assistance under the TIFIA program
 - Repayment of TIFIA loan
 - FAIN number(s) for associated DOT projects

14. Title I (EC 10) – Collection began October 2023:

- Environmental Review Type: Indicate the type of environmental review required by the project
 - Exempt Activity (per 24 CFR 58.34(a))
 - Categorically Excluded and not subject to 24 CFR 58.5 (per 24 CFR 58.35(b)) with no extraordinary circumstances (per 24 CFR 58.35(c))
 - Other - *Treasury will provide additional guidance on project certification and approval requirements and instructions for how to provide associated environmental information in a future reporting period.*
- Supplement, Not Supplant Attestation: The SLFRF funds used for this project are supplementing not supplanting other federal, state, territorial, Tribal, and local government funds (as applicable) otherwise available for such uses.
- Requirements Attestation: The project satisfies the requirements of title I of the Housing and Community Development Act of 1974 that apply to this project and the associated HUD implementing regulations.
- Does this Title I project relate to broadband infrastructure? (Yes/No).
- For non-Tribal government recipients:
 - Designate which of the three National Objectives the project aligns to:
 - Benefit low- and moderate-income persons
 - Prevent or eliminate slums or blight
 - Meet other particularly urgent community development needs
 - Labor Standards Attestation: All labor standards requirements applicable under this eligible use category have been satisfied by the recipient.
 - For Tribal government recipients: Are you satisfying the definition of “low and moderate income” for the primary objective requirement based on project beneficiaries receiving or being eligible to receive needs-based services provided by the Tribe, instead of relying on Census data? Needs-based services are defined as services administered by the Tribal government on the basis of an individual’s income.



- If yes: Attestation: The project beneficiaries are receiving or are eligible to receive needs-based services provided by the Tribal government.
- k. **Required Programmatic Data for Water, Sewer, and Broadband Infrastructure Projects (EC 5):** For all projects listed under the Water, Sewer, and Broadband Expenditure Categories (see Appendix 1), more detailed project-level information is required. Each project will be required to report expenditure data as described above, but will also report the following information:
1. **All water, sewer, and broadband infrastructure projects (EC 5.) – Collection began in January 2022:**
 - Projected/actual construction start date (month/year)
 - Projected/actual initiation of operations date (month/year)
 - Location
 - For projects over \$10 million (based on expected total cost):
 - a. A recipient may provide a certification that, for the relevant project, all laborers and mechanics employed by contractors and subcontractors in the performance of such project are paid wages at rates not less than those prevailing, as determined by the U.S. Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code (commonly known as the "Davis-Bacon Act"), for the corresponding classes of laborers and mechanics employed on projects of a character similar to the contract work in the civil subdivision of the State (or the District of Columbia) in which the work is to be performed, or by the appropriate State entity pursuant to a corollary State prevailing-wage-in-construction law (commonly known as "baby Davis-Bacon Acts"). If such certification is not provided, a recipient must provide a project employment and local impact report detailing:
 - The number of employees of contractors and sub-contractors working on the project;
 - The number of employees on the project hired directly and hired through a third party;
 - The wages and benefits of workers on the project by classification; and
 - Whether those wages are at rates less than those prevailing.²⁰Recipients must maintain sufficient records to substantiate this information upon request.
 - b. A recipient may provide a certification that a project includes a project labor agreement, meaning a pre-hire collective bargaining agreement consistent with section 8(f) of the National Labor Relations Act (29 U.S.C. 158(f)). If the recipient does not provide such certification, the recipient must provide a project workforce continuity plan, detailing:
 - How the recipient will ensure the project has ready access to a sufficient supply of appropriately skilled and unskilled labor to ensure high-quality construction throughout the life of the project, including a description of any required professional certifications and/or in-house training;
 - How the recipient will minimize risks of labor disputes and disruptions that would jeopardize timeliness and cost-effectiveness of the project;
 - How the recipient will provide a safe and healthy workplace that avoids delays and costs associated with workplace illnesses, injuries, and fatalities, including descriptions of safety training, certification, and/or licensure requirements for all relevant workers (e.g., OSHA 10, OSHA 30);
 - Whether workers on the project will receive wages and benefits that will secure an appropriately skilled workforce in the context of the local or regional labor market; and

²⁰ As determined by the U.S. Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code (commonly known as the "Davis-Bacon Act"), for the corresponding classes of laborers and mechanics employed on projects of a character similar to the contract work in the civil subdivision of the State (or the District of Columbia) in which the work is to be performed.



- Whether the project has completed a project labor agreement.
- c. Whether the project prioritizes local hires.
- d. Whether the project has a Community Benefit Agreement, with a description of any such agreement.

2. Water and sewer projects (EC 5.1-5.18) *Required once the project starts:*

- National Pollutant Discharge Elimination System (NPDES) Permit Number (if applicable; for projects aligned with the Clean Water State Revolving Fund) (*Collection began in January 2022*)
- Public Water System (PWS) ID number (if applicable; for projects aligned with the Drinking Water State Revolving Fund) (*Collection began January 2022*)
- Median Household Income of service area (*Collection began in April 2022*)
- Lowest Quintile Income of the service area (*Collection began in April 2022*)

3. Broadband projects (EC 5.19-5.21) *Collection includes new fields that began in July 2022. Additional fields will be phased in through future reporting periods, as noted below.*

Overall Project Information

- Confirm that the project is designed to, upon completion, reliably meet or exceed symmetrical 100 Mbps download and upload speeds.
 - If the project is not designed to reliably meet or exceed symmetrical 100 Mbps download and upload speeds, explain why not, and
 - Confirm that the project is designed to, upon completion, meet or exceed 100 Mbps download speed and between at least 20 Mbps and 100 Mbps upload speed, and be scalable to a minimum of 100 Mbps download speed and 100 Mbps upload speed.
- Confirm that the service provider for the project has, or will upon completion of the project, either participated in the Federal Communications Commission (FCC)'s Affordable Connectivity Program (ACP) or otherwise provided access to a broad-based affordability program that provides benefits to households commensurate with those provided under the ACP to low-income consumers in the proposed service area of the broadband infrastructure (*applicable only to projects that provide service to households*).

Detailed Project Information

- Project technology type(s) (Planned/Actual)
 - Fiber
 - Coaxial Cable
 - Terrestrial Fixed Wireless
 - Other (specify)
- Total miles of fiber deployed (Planned/Actual)
- Total number of funded locations served (Planned/Actual)
 - Total number of funded locations served, broken out by speeds:
 - Pre-SLFRF Investment:
 - Number receiving 25/3 Mbps or below
 - Number receiving between 25/3 Mbps and 100/20 Mbps
 - Post-SLFRF Investment (Planned/Actual):
 - Number receiving minimum 100/100 Mbps
 - Number receiving minimum 100/20 Mbps and scalable to minimum 100/100 Mbps
 - Total number of funded locations served, broken out by type (Planned/Actual):
 - Residential
 - Total Housing Units
 - Business
 - Community anchor institution



- Speed tiers offered, corresponding non-promotional prices, including associated fees, and data allowance for each speed tier of broadband service (*collection to be phased in a future reporting period*)

Location-by-Location Project Information

For each location served by a Project, the recipient must collect from the subrecipient or contractor and submit the following information to Treasury using a predetermined file format that will be provided by Treasury (*collection of certain fields will begin in October 2022, as specified below*):

- Latitude/longitude at the structure where service will be installed (*required starting October 2022*) Technology used to offer service at the location (*required starting October 2022*)
- Location type (*required starting October 2022*)
 - Residential
 - If Residential, Number of Housing Units
 - Business
 - Community anchor institution
- Speed tier at the location pre-SLFRF investment (*collection to be phased in*)
 - 25/3 Mbps or below
 - Between 25/3 Mbps and 100/20 Mbps
- Speed and latency at the location post-SLFRF investment (*collection to be phased in*)
 - Maximum download speed offered
 - Maximum download speed delivered
 - Maximum upload speed offered
 - Maximum upload speed delivered
 - Latency
- Standardized FCC Identifiers
 - Fabric ID # (Broadband Serviceable Fabric Locations)
 - FCC Issued Provider ID #

- i. Additional Required Programmatic Data for States, U.S. territories, and metropolitan cities and counties with a population that exceeds 250,000 residents only: As noted in the Recovery Plan section of this guidance, states, U.S. territories, and metropolitan cities and counties with a population over 250,000 are required to provide additional data in the Project and Expenditure report for projects in the following expenditure categories:

1. Use of Evidence (for relevant ECs noted in Appendix 1)—*Collection began April 2022*
 - The dollar amount of the total project spending that is allocated towards evidence-based interventions
 - Whether a program evaluation of the project is being conducted
2. Household Assistance (EC 2.2, Long-Term Housing Security (EC 2.15-2.16) and Housing Support (EC 2.17-2.18):
 - Number of households receiving eviction prevention services (including legal representation)
 - Number of affordable housing units preserved or developed
3. Assistance to Unemployed or Underemployed Workers (EC 2.10) and Community Violence Interventions (EC 1.11):
 - Number of workers enrolled in sectoral job training programs
 - Number of workers completing sectoral job training programs
 - Number of people participating in summer youth employment programs



4. Addressing Educational Disparities (EC 2.24-2.26) and Addressing Impacts of Lost Instructional Time (EC 2.27):
 - Number of students participating in evidence-based tutoring programs²¹
 5. Healthy Childhood Environments (EC 2.11-2.14):
 - Number of children served by childcare and early learning services (pre-school/pre-K/ages 3-5)
 - Number of families served by home visiting
- m. NEU Documentation (NEUs only): Each NEU is also required to provide the following information once its accounts are established in Treasury's Reporting Portal and prior to the due date for their first Project and Expenditure Report (due April 30, 2022):
- Copy of the signed award terms and conditions agreement (which was signed and submitted to the State as part of the request for funding)
 - Copy of the signed assurances of compliance with Title VI of the Civil Rights Act of 1964 (which was signed and submitted to the State as part of the request for funding)
 - Copy of actual budget documents validating the top-line budget total provided to the State as part of the request for funding

NEU accounts are established in Treasury's Portal based on information provided by the States or territories, as further described in Section Part 2 D below.

C. Recovery Plan Performance Report

States, territories, and metropolitan cities and counties with a population that exceeds 250,000 residents (i.e., Tier 1 recipients) will also be required to publish and submit to Treasury a Recovery Plan performance report ("Recovery Plan"). Each Recovery Plan must be posted on an easily discoverable webpage on the public-facing website of the recipient by the same date the recipient submits the report to Treasury. Treasury recommends that Recovery Plans be accessible within three clicks or fewer from the homepage of the recipient's website. Within Treasury's reporting portal, recipients must upload a link to the publicly available Recovery Plan and provide required data.

The Recovery Plan provides the public and Treasury both retrospective and prospective information on the projects recipients are undertaking or planning to undertake with program funding and how they are planning to ensure program outcomes are achieved in an effective, efficient, and equitable manner. While this guidance outlines some minimum requirements for the Recovery Plan, each recipient is encouraged to add information to the plan that they feel is appropriate to provide information to their constituents on efforts they are taking to respond to the pandemic and promote economic recovery. Each jurisdiction may determine the general form and content of the Recovery Plan, as long as it includes the minimum information required by Treasury. Treasury provided a template (located at www.treasury.gov/SLFRP) but recipients may modify this template as appropriate for their jurisdiction, provided the modified template meets Treasury's requirements, outlined below. Through the Recovery Plan, recipients may link to public documents, including, but not limited to, legislation, dashboards, survey results, community engagement reports, and equity frameworks to support the Recovery Plan narrative. The Recovery Plan should include key performance indicators identified by the recipient and some mandatory indicators identified by Treasury, as noted below.

The initial Recovery Plan covered the period from the date of award to July 31, 2021 and was required to be submitted to Treasury by August 31, 2021, or 60 days after receiving funding. Thereafter, the

²¹ For more information on evidence-based tutoring programs, refer to the U.S. Department of Education's [2021 ED COVID-19 Handbook \(Volume 2\)](#), which summarizes research on evidence-based tutoring programs (see the bottom of page 20).



Recovery Plan will cover a 12-month period and recipients are required to submit the report to Treasury after the end of the 12-month period by July 31. The Recovery Plan should include both retrospective information covering the time period of the Recovery Plan along with prospective information on future work to be undertaken with SLFRF funds or on the planning that has been undertaken during the covered period. **Table 5** summarizes the report timelines:

Table 5 Recovery Plan Timeline

Annual Report	Period Covered	Due Date
1	Award Date – July 31, 2021	August 31, 2021 or 60 days after receiving funding
2	July 1, 2021 – June 30, 2022	July 31, 2022
3	July 1, 2022 – June 30, 2023	July 31, 2023
4	July 1, 2023 – June 30, 2024	July 31, 2024
5	July 1, 2024 – June 30, 2025	July 31, 2025
6	July 1, 2025 – June 30, 2026	July 31, 2026
7	July 1, 2026 – December 31, 2026	April 30, 2027

Recovery Plans submitted as part of reporting are used by Treasury, third party organizations, the public, and other stakeholders to obtain a comprehensive understanding of SLFRF's largest recipients' planned and actual usage of SLFRF funding, including the jurisdiction's policy goals, its strategy for achieving them, and specific projects or initiatives underway. Alignment of data reported in Project and Expenditure reports and Recovery Plans is expected by both Treasury and SLFRF's many stakeholders. Finally, Recovery Plans will be posted publicly by Treasury to provide transparency about how program funds are being used by recipient governments.

The Recovery Plan must include, at a minimum, the following information:

1. Executive Summary

In this section, recipients should provide a high-level overview of the jurisdiction's intended and actual uses of funding including, but not limited to: the jurisdiction's strategy, goals, and plan for using Fiscal Recovery Funds to respond to the pandemic and promote economic recovery, key outcome goals, progress to date on those outcomes, and any noteworthy challenges or opportunities identified during the reporting period.

2. Uses of Funds

In this section, recipients should describe in further detail the strategy and goals of their jurisdiction's SLFRF program, such as how their jurisdiction's approach would help support a strong and equitable recovery from the COVID-19 pandemic and economic downturn. Recipients should describe how their intended and actual uses of funds will achieve their goals. Given the broad eligible uses of funds established by the 2022 final rule and the 2023 IFR and the specific needs of different jurisdictions, recipients should also explain how the funds would support the communities, populations, or individuals in their jurisdiction. Recipients should describe how their use of funds supports their overall strategy and goals in the following areas:

- a. Public Health (EC 1): As relevant, describe how funds are being used to respond to COVID-19, the broader health impacts of COVID-19, and the COVID-19 public health emergency, including community violence interventions and behavioral health.
- b. Negative Economic Impacts (EC 2): As relevant, describe how funds are being used to respond to negative economic impacts of the COVID-19 public health emergency, including services to households (such as affordable housing, job training, and childcare), small businesses, non-profits, and impacted industries.
- c. Public Health-Negative Economic Impact; Public Sector Capacity (EC 3): As relevant, describe how funds are being used to support public sector workforce and capacity, including public sector payroll, rehiring of public sector workers, and building of public sector capacity.



- d. **Premium Pay (EC 4):** As relevant, describe the approach, goals, and sectors or occupations served in any premium pay program. Describe how the approach prioritizes low-income workers and/or any particular group of eligible workers.
- e. **Water, sewer, and broadband infrastructure (EC 5):** As relevant, describe the approach, goals, and types of projects being pursued. Where relevant, recipients should note how projects contribute to addressing climate change and/or how projects benefit disadvantaged communities in line with the Justice40 Initiative.²²
- f. **Revenue Replacement (EC 6):** Describe the loss in revenue, including if electing the standard allowance, due to the COVID-19 public health emergency, and how funds have been used to provide government services, including any funds used under revenue loss for non-federal cost-share or matching requirements of other federal programs.
- g. **Emergency Relief from Natural Disasters (EC 8):** As relevant, describe how funds are being used to provide emergency relief from natural disasters that have occurred or are expected to occur imminently; or are threatened to occur in the future.
- h. **Surface Transportation (EC 9):** As relevant, describe how funds are being used to support projects eligible under the 26 transportation programs specified in the Consolidated Appropriations Act, 2023.
- i. **Title I (EC 10):** As relevant, describe how funds are being used for activities that are eligible under section 105(a) of the Housing and Community Development Act of 1974 (Title I projects), which are the activities eligible under the Community Development Block Grant (CDBG) and Indian Community Development Block Grant (ICDBG) programs.

If appropriate, recipients may also include information on their jurisdiction's use (or planned use) of other federal recovery funds, including other programs under the American Rescue Plan such as Emergency Rental Assistance, the Homeowner Assistance Fund, the Capital Projects Fund, the State Small Business Credit Initiative, and so forth, to provide broader context on the overall approach for pandemic recovery. Jurisdictions may also address use of SLFRF funds in coordination with, or in preparation for, funding available through the Infrastructure Investment and Jobs Act.

3. Promoting equitable outcomes

Treasury encourages uses of funds that advance strong, equitable growth, including economic and racial equity. For the purposes of the SLFRF, equity is described in the Executive Order 13985 On Advancing Racial Equity and Support for Underserved Communities Through the Federal Government, as issued on January 20, 2021. Recipients also are encouraged to review the definition and discussion of equity in Executive Order 14091, Further Advancing Racial Equity and Support for Underserved Communities Through the Federal Government, as issued on February 16, 2023.

In this section, recipients should describe, as applicable, their efforts to promote equitable outcomes, including economic and racial equity, and their efforts to design, implement, and measure their SLFRF program and projects with equity in mind.

In describing their efforts to design their SLFRF program and projects with equity in mind, recipients may consider the following:

- a. **Goals:** Are there particular historically underserved, marginalized, or adversely affected groups that recipients intend to serve within their jurisdiction?
- b. **Awareness:** How equitable and practical is the ability for residents or businesses to become aware of the services funded by SLFRF?

²² See Executive Order 14008, on Tackling the Climate Crisis at Home and Abroad; OMB, CEQ, & CPO, M-21-28, Interim Implementation Guidance for the Justice40 Initiative (July 20, 2021) <https://www.whitehouse.gov/wp-content/uploads/2021/07/M-21-28.pdf>; OMB, CEQ, & CPO, M-23-09, Addendum to the Interim Implementation Guidance for the Justice40 Initiative, M-21-28, on using the Climate and Economic Justice Screening Tool (CEJST) (Jan. 27, 2023), https://www.whitehouse.gov/wp-content/uploads/2023/01/M-23-09_Signed_CEQ_CPO.pdf



- c. **Access and Distribution:** Are there differences in levels of access to benefits and services across groups? Are there administrative requirements that result in disparities in ability to complete applications or meet eligibility criteria?
- d. **Outcomes:** How are intended outcomes focused on closing gaps and/or reaching universal levels of service? How is the considering disaggregating outcomes by race, ethnicity, and other equity dimensions where relevant for the policy objective?

In describing their efforts to implement their SLFRF program and projects with equity in mind, recipients may consider the following:

- a. **Goals and Targets:** Please describe how planned or current uses of funds prioritize economic and racial equity as a goal, name specific targets intended to produce meaningful equity results at scale, and include initiatives to achieve those targets.
- b. **Project Implementation:** In addition, please explain how the jurisdiction's overall equity strategy translates into focus areas for SLFRF projects and the specific services or programs offered by the jurisdiction in the following Expenditure Category, as indicated in the 2022 final rule.

Negative Economic Impacts (EC 2): assistance to households, small businesses, and non-profits to address impacts of the pandemic, which have been most severe among low-income populations. This includes assistance with food, housing, and other needs; employment programs for people with barriers to employment who faced negative economic impacts from the pandemic (such as residents of low-income neighborhoods, minorities, disconnected youth, the unemployed, formerly incarcerated people, veterans, and people with disabilities); services to provide long-term housing security and housing supports, address educational disparities, or provide child care and early learning services; and other strategies that provide impacted and disproportionately impacted communities with services to address the negative economic impacts of the pandemic.

The first annual Recovery Plan, due in 2021, was required to describe initial efforts and intended outcomes to promote equity, as applicable. Beginning in 2022, each annual Recovery Plan must provide an update, using qualitative and quantitative data, on how the recipients' approach achieved or promoted equitable outcomes or progressed against equity goals during the performance period, as applicable. Each jurisdiction should describe any constraints or challenges that impacted project success in terms of increasing equity. In particular, this section should describe the geographic and demographic distribution of funding, including whether it is targeted toward traditionally marginalized communities (recipients may reference the demographic data information in their Project and Expenditure Reports as relevant).

4. Community Engagement

In this section, recipients should describe how their jurisdiction's planned or current use of funds incorporates community engagement strategies including written feedback through surveys, project proposals, and related documents; oral feedback through community meetings, issue-specific listening sessions, stakeholder interviews, focus groups, and additional public engagement; as well as other forms of input, such as steering committees, taskforces, and digital campaigns that capture diverse feedback from the community. Recipients may describe completed or planned community engagement strategies specifically focused on their SLFRF program and projects or community engagement strategies that included SLFRF among other government programs. Recipients should also describe how community engagement strategies support their equity goals, including engagement with communities that have historically faced significant barriers to services, such as people of color, people with low incomes, limited English proficient populations, and other traditionally underserved groups.

5. Labor Practices

In this section, recipients should describe workforce practices on any infrastructure projects or capital expenditures being pursued. How are projects using strong labor standards to promote effective and



efficient delivery of high-quality infrastructure projects while also supporting the economic recovery through strong employment opportunities for workers? For example, report whether any of the following practices are being utilized: project labor agreements, community benefits agreements, prevailing wage requirements, and local hiring.

6. Use of Evidence

In this section of the Recovery Plan, recipients should describe whether and how evidence-based interventions and/or program evaluation are incorporated into their SLFRF program. Recipients may include links to evidence standards, evidence dashboards, evaluation policies, and other public facing tools that are used to track and communicate the use of evidence and evaluation for Fiscal Recovery Funds. Recipients are encouraged to consider how a learning agenda, either narrowly focused on SLFRF or broadly focused on the recipient's broader policy agenda, could support their overarching evaluation efforts in order to create an evidence-building strategy for their jurisdiction.²³

In the Project Inventory section of the Recovery Plan (see Section 8 below), recipients should identify whether SLFRF funds are being used for evidence-based interventions²⁴ and/or if projects are being evaluated through rigorous program evaluations that are designed to build evidence. In the Project Inventory, recipients must briefly describe the goals of the project and the evidence base for the interventions funded by the project. As part of the Project Inventory section, recipients must also specifically identify the dollar amount of the total project spending that is allocated towards evidence-based interventions for each project in the Expenditure Categories noted with an asterisk in Appendix 1. Please note that to increase consistency, the Project and Expenditure report now also includes fields for recipients to identify the dollar amount of the total project spending that is allocated to evidence-based interventions and to indicate if a program evaluation of the project is being conducted.

Recipients are encouraged to reference relevant evidence clearinghouses, among other sources, to assess the level of evidence for their interventions and identify evidence-based models that could be applied in their jurisdiction; such evidence clearinghouses include the U.S. Department of Education's What Works Clearinghouse, the U.S. Department of Labor's CLEAR, and the Childcare & Early Education Research Connections and the Home Visiting Evidence of Effectiveness clearinghouses from Administration for Children and Families, as well as other clearinghouses relevant to particular projects conducted by the recipient.

Recipients are exempt from reporting on evidence-based interventions in cases where a program evaluation is being conducted. In such cases where a recipient is conducting a program evaluation, recipients must describe the evaluation design, including whether it is a randomized or quasi-experimental design; the key research questions being evaluated; whether the study has sufficient statistical power to disaggregate outcomes by demographics; and the timeframe for the completion of the evaluation (including a link to the completed evaluation if relevant).²⁵ Once the evaluation has been completed, recipients must post the evaluation publicly and link to the completed evaluation in the Recovery Plan. Once an evaluation has been completed (or has sufficient interim findings to determine the efficacy of the intervention), recipients should determine whether the spending for the evaluated interventions should be counted towards the dollar amount categorized as evidence-based for the relevant project.

For all projects, recipients may be selected to participate in a national evaluation, which might, for example, study their project along with similar projects in other jurisdictions that are focused on the same set of outcomes. In such cases, recipients may be asked to share information and data that is needed for the national evaluation.

²³ For more information on learning agendas, please see OMB M-19-23

²⁴ As noted in Appendix 2, evidence-based refers to interventions with strong or moderate levels of evidence.

²⁵ For more information on the required standards for program evaluation, see OMB M-20-12.



Appendix 2 contains additional information on evidence-based interventions for the purposes of the Recovery Plan.

7. Performance Report

In this section, recipients should describe how performance management is incorporated into their SLFRF program, including how they are tracking their overarching jurisdictional goals for these funds as well as measuring results for individual projects. The recipient has flexibility in terms of how this information is presented in the Recovery Plan, and may report key performance indicators for each project, or may group projects with substantially similar goals and the same outcome measures. In some cases, the recipient may choose to include some indicators for each individual project as well as crosscutting indicators. Recipients may include links to performance management dashboards, performance management policies, and other public facing tools that are used to track and communicate the performance of Fiscal Recovery Funds. In addition to outlining in this section their high-level approach to performance management, recipients must also include key performance indicators for each SLFRF project in the Project Inventory section (described below in #8).

Performance indicators should include both output and outcome measures. Output measures, such as the number of students enrolled in an early learning program, provide valuable information about the early implementation stages of a project. Outcome measures, such as the percent of students reading on grade level, provide information about whether a project is achieving its overall goals. Recipients are encouraged to use logic models²⁶ to identify their output and outcome measures.

While the initial Recovery Plan focused heavily on early output goals, recipients should include the related outcome goal for each project and provide updated information on achieving these outcome goals in subsequent annual reports. In cases where recipients are conducting a program evaluation for a project (as described above), the outcome measures in the performance report should be aligned with those being evaluated in the program. As described in the 2022 final rule, to support their performance measurement and program improvement efforts, recipients are permitted to use funds to make improvements to data or technology infrastructure and data analytics, as well as perform program evaluations.

While recipients have discretion on the full suite of performance indicators to include, a number of mandatory performance indicators and programmatic data must be included. These are necessary to allow Treasury to conduct oversight as well as understand and aggregate program outcomes across recipients. This section provides an overview of the mandatory performance indicators and programmatic data. This information should be included in the Project Inventory, but this data will also need to be entered directly into the Treasury reporting portal as part of the Project and Expenditure report, as Treasury has added these fields (for Tier 1 recipients only) to the Project and Expenditure report. Below is a list of required data for each Expenditure Category, where relevant.

- a. Household Assistance (EC 2.2), Long-Term Housing Security (EC 2.15-2.16) and Housing Support (EC 2.17-2.18):
 - Number of households receiving eviction prevention services (including legal representation)
 - Number of affordable housing units preserved or developed
- b. Assistance to Unemployed or Underemployed Workers (EC 2.10) and Community Violence Interventions (EC 1.11):
 - Number of workers enrolled in sectoral job training programs
 - Number of workers completing sectoral job training programs
 - Number of people participating in summer youth employment programs

²⁶ A logic model is a tool that depicts the intended links between program investments and outcomes, specifically the relationships among the resources, activities, outputs, outcomes, and impact of a program.



- c. Addressing Educational Disparities (EC 2.24-2.26) and Addressing Impacts of Lost Instructional Time (EC 2.27):
 - Number of students participating in evidence-based tutoring programs²⁷
- d. Healthy Childhood Environments (EC 2.11-2.14):
 - Number of children served by childcare and early learning services (pre-school/pre-K/ages 3-5)
 - Number of families served by home visiting

The initial report should have included the key indicators above. Each annual report thereafter should include updated data for the performance period as well as prior period data, and a brief narrative adding any additional context to help the reader interpret the results and understand any changes in performance indicators over time. To the extent possible, Treasury also encourages recipients to provide data disaggregated by race, ethnicity, gender, income, and other relevant factors.

8. Project Inventory

In this section, recipients should list the name and provide a brief description of each SLFRF funded project. Projects are defined as a grouping of closely related activities that together are intended to achieve a specific goal or are directed toward a common purpose. These activities can include new or existing eligible government services or investments funded in whole or in part by SLFRF funding.

For each project, recipients should include the project name, funding amount, identification number (the same identification number created by the recipient that matches the identification number used in the quarterly Project and Expenditure Report), project Expenditure Category (see Appendix 1), and a description of the project that includes an overview of the main activities of the project, approximate timeline, primary delivery mechanisms and partners, and intended outcomes. Each jurisdiction should also include a link to the website of the project if available. This information will provide context and additional detail for the information reported quarterly in the Project and Expenditure Report.

For infrastructure projects, where relevant, recipients should describe how the project contributes to addressing climate change and/or advances the Justice40 Initiative²⁸, which sets a target of providing 40 percent of the overall benefits of certain federal investments, including climate and clean energy investments to disadvantaged communities.

As noted above in section 6, the Project Inventory must also include information about the dollar amount of the total project spending that is allocated towards evidence-based interventions (or describe how projects are being evaluated as noted above). As described above in section 7, the Project Inventory must also contain information about the performance indicators for each project, including both those measures that recipients have defined for each project as well as the mandatory performance indicators defined by Treasury.

Recipients have flexibility in the presentation and format of their Project Inventory, provided it includes the minimum required information. Recipients have the option of downloading a spreadsheet of the information entered into their Project and Expenditure Report to assist them in creating the Project Inventory in their Recovery Plan. However, recipients must ensure that their Project Inventory contains the additional information required by this guidance, including but not limited to information about performance measures and evidence/evaluation for each project. In all cases, recipients must

²⁷ For more information on evidence-based tutoring programs, refer to the U.S. Department of Education's 2021 ED COVID-19 Handbook (Volume 2), which summarizes research on evidence-based tutoring programs (see the bottom of page 20.).

²⁸ See Executive Order 14008, On Tackling the Climate Crisis at Home and Abroad and the Interim Implementation Guidance for the Justice40 Initiative, OMB M-21-28.



post publicly (and submit to Treasury) a single PDF file of their Recovery Plan, which includes the Project Inventory.

D. Distributions to NEUs

Each state and territory is required to provide regular updates on their NEU distributions as well as their distributions to units of general local government within counties that are not units of general local government. The distribution template generally requests information on whether the local government has (1) received funding; (2) declined funding and requested a transfer to the state under Section 603(c)(4) of the Act; or (3) not taken action on its funding or declined funding.

For NEUs, states and territories should be prepared to report on their information, including the following:

- NEU name
- NEU UEI number
- NEU Taxpayer Identification Number (TIN).
- NEU Recipient Number (a unique identification code for each NEU assigned by the State or territory to the NEU as part of the request for funding)
- NEU contact information (e.g., address, point of contact name, point of contact email address, and point of contact phone number)
- NEU authorized representative name and email address
- Initial allocation and, if applicable, subsequent allocation to the NEU (before application of the 75 percent cap)
- Total NEU reference budget (as submitted by the NEU to the State or territory as part of the request for funding)
- Amount of the initial and, if applicable, subsequent allocation above 75 percent of the NEU's reference budget which will be returned to Treasury
- Payment amount(s)
- Payment date(s)

States with "weak" minor civil divisions (i.e., Illinois, Indiana, Kansas, Missouri, Nebraska, North Dakota, Ohio, and South Dakota) should also list any minor civil divisions that the state deemed ineligible.

For each eligible NEU that declined funding and requested a transfer to the state under Section 603(c)(4) of the Social Security Act, the state or territory must also attach a form signed by the NEU, as detailed in the Guidance on Distributions of Funds to Non-Entitlement Units of Local Government.



Appendix 1: Expenditure Categories

Treasury's 2022 final rule provides greater flexibility and simplicity for recipients to fight the pandemic and support families and businesses struggling with its impacts, maintain vital services amid revenue shortfalls, and build a strong, resilient, and equitable recovery. As such, recipients began reporting on a broader set of eligible uses and associated Expenditure Categories ("EC"), starting with the April 2022 Project and Expenditure Report than they did in their interim reports, initial Recovery Plans, and January 2022 Project and Expenditure Report. The table below includes the ECs from the 2022 final rule, as well as a reference to previous ECs aligned with the 2021 IFR and used for reporting before this date.

Treasury's 2023 IFR describes how recipients may use SLFRF funds to provide emergency relief from natural disasters, build surface transportation infrastructure, and support community development. This table was updated in September 2023 to reflect the new eligible uses described in the 2023 IFR.

The ECs listed below must be used to categorize each project as noted in Part 2 above. The term "Expenditure Category" refers to the detailed level (e.g., 1.1 COVID-19 Vaccination). When referred to as a category (e.g., EC 1) it includes all ECs within that level.

*Denotes areas where recipients must identify the amount of the total funds that are allocated to evidence-based interventions (see Use of Evidence section above for details)

^Denotes areas where recipients must report on whether projects are primarily serving disproportionately impacted communities (see Project Demographic Distribution section above for details)

Expenditure Category	EC ²⁹	Previous EC ³⁰
1: Public Health		
COVID-19 Mitigation & Prevention		
COVID-19 Vaccination [^]	1.1	1.1
COVID-19 Testing [^]	1.2	1.2
COVID-19 Contact Tracing [^]	1.3	1.3
Prevention in Congregate Settings (Nursing Homes, Prisons/Jails, Dense Work Sites, Schools, Child care facilities, etc.) ^{^^}	1.4	1.4
Personal Protective Equipment [^]	1.5	1.5
Medical Expenses (including Alternative Care Facilities) [^]	1.6	1.6
Other COVID-19 Public Health Expenses (including Communications, Enforcement, Isolation/Quarantine) [^]	1.7	1.8
COVID-19 Assistance to Small Businesses [^]	1.8	-
COVID 19 Assistance to Non-Profits [^]	1.9	-
COVID-19 Aid to Impacted Industries [^]	1.10	-
Community Violence Interventions		
Community Violence Interventions ^{^^}	1.11	3.16
Behavioral Health		
Mental Health Services ^{^^}	1.12	1.10
Substance Use Services ^{^^}	1.13	1.11
Other		
Other Public Health Services [^]	1.14	1.12

²⁹ Under the 2022 final rule to be used starting with April 2022 reports or the 2023 IFR to be used starting with the October 2023 reports

³⁰ Under the 2021 IFR to be used in Interim Report and January 2022 Project and Expenditure Report



Expenditure Category	EC ²⁹	Previous EC ³⁰
Capital Investments or Physical Plant Changes to Public Facilities that respond to the COVID-19 public health emergency	-	1.7
2: Negative Economic Impacts		
Assistance to Households		
Household Assistance: Food Programs* [^]	2.1	2.1
Household Assistance: Rent, Mortgage, and Utility Aid* [^]	2.2	2.2
Household Assistance: Cash Transfers* [^]	2.3	2.3
Household Assistance: Internet Access Programs* [^]	2.4	2.4
Household Assistance: Paid Sick and Medical Leave [^]	2.5	-
Household Assistance: Health Insurance* [^]	2.6	-
Household Assistance: Services for Un/Unbanked* [^]	2.7	-
Household Assistance: Survivor's Benefits [^]	2.8	-
Unemployment Benefits or Cash Assistance to Unemployed Workers* [^]	2.9	2.6
Assistance to Unemployed or Underemployed Workers (e.g. job training, subsidized employment, employment supports or incentives)* [^]	2.10	2.7
Healthy Childhood Environments: Child Care* [^]	2.11	3.6
Healthy Childhood Environments: Home Visiting* [^]	2.12	3.7
Healthy Childhood Environments: Services to Foster Youth or Families Involved in Child Welfare System* [^]	2.13	3.8
Healthy Childhood Environments: Early Learning* [^]	2.14	3.1
Long-term Housing Security: Affordable Housing* [^]	2.15	3.10
Long-term Housing Security: Services for Unhoused Persons* [^]	2.16	3.11
Housing Support: Housing Vouchers and Relocation Assistance for Disproportionately Impacted Communities* [^]	2.17	-
Housing Support: Other Housing Assistance* [^]	2.18	3.12
Social Determinants of Health: Community Health Workers or Benefits Navigators* [^]	2.19	3.14
Social Determinants of Health: Lead Remediation* [^]	2.20	3.15
Medical Facilities for Disproportionately Impacted Communities [^]	2.21	-
Strong Healthy Communities: Neighborhood Features that Promote Health and Safety [^]	2.22	-
Strong Healthy Communities: Demolition and Rehabilitation of Properties [^]	2.23	-
Addressing Educational Disparities: Aid to High-Poverty Districts [^]	2.24	3.2
Addressing Educational Disparities: Academic, Social, and Emotional Services* [^]	2.25	3.3
Addressing Educational Disparities: Mental Health Services* [^]	2.26	3.4
Addressing Impacts of Lost Instructional Time [^]	2.27	-
Contributions to UI Trust Funds [^]	2.28	2.8
Assistance to Small Businesses		
Loans or Grants to Mitigate Financial Hardship [^]	2.29	2.9
Technical Assistance, Counseling, or Business Planning* [^]	2.30	-
Rehabilitation of Commercial Properties or Other Improvements [^]	2.31	-
Business Incubators and Start-Up or Expansion Assistance* [^]	2.32	-
Enhanced Support to Microbusinesses* [^]	2.33	-
Assistance to Non-Profits		
Assistance to Impacted Nonprofit Organizations (Impacted or Disproportionately Impacted) [^]	2.34	2.10
Aid to Impacted Industries		
Aid to Tourism, Travel, or Hospitality [^]	2.35	2.11



Expenditure Category	EC ²⁹	Previous EC ³⁰
Aid to Other Impacted Industries ^A	2.36	2.12
Other:		
Economic Impact Assistance: Other ^{AA}	2.37	2.13
Household Assistance: Eviction Prevention ^{AA}	-	2.5
Education Assistance: Other ^{AA}	-	3.5
Healthy Childhood Environments: Other ^{AA}	-	3.9
Social Determinants of Health: Other ^{AA}	-	3.13
3: Public Health, Negative Economic Impact, Public Sector Capacity		
General Provisions		
Public Sector Workforce: Payroll and Benefits for Public Health, Public Safety, or Human Services Workers	3.1	1.9
Public Sector Workforce: Rehiring Public Sector Staff	3.2	2.14
Public Sector Workforce: Other	3.3	-
Public Sector Capacity: Effective Service Delivery	3.4	7.2
Public Sector Capacity: Administrative Needs	3.5	-
4: Premium Pay		
Public Sector Employees	4.1	4.1
Private Sector: Grants to Other Employers	4.2	4.2
5: Water, Sewer, and Broadband Infrastructure		
Water and Sewer		
Clean Water: Centralized Wastewater Treatment	5.1	5.1
Clean Water: Centralized Wastewater Collection and Conveyance	5.2	5.2
Clean Water: Decentralized Wastewater	5.3	5.3
Clean Water: Combined Sewer Overflows	5.4	5.4
Clean Water: Other Sewer Infrastructure	5.5	5.5
Clean Water: Stormwater	5.6	5.6
Clean Water: Energy Conservation	5.7	5.7
Clean Water: Water Conservation	5.8	5.8
Clean Water: Nonpoint Source	5.9	5.9
Drinking water: Treatment	5.10	5.10
Drinking water: Transmission & Distribution	5.11	5.11
Drinking water: Lead Remediation, including in Schools and Daycares	5.12	5.12
Drinking water: Source	5.13	5.13
Drinking water: Storage	5.14	5.14
Drinking water: Other water infrastructure	5.15	5.15
Water and Sewer: Private Wells	5.16	-
Water and Sewer: IJJA Bureau of Reclamation Match	5.17	-
Water and Sewer: Other	5.18	-
Broadband		
Broadband: "Last Mile" projects	5.19	5.16
Broadband: IJJA Match	5.20	-
Broadband: Other projects	5.21	5.17
6: Revenue Replacement		
Provision of Government Services	6.1	6.1
Non-federal Match for Other Federal Programs	6.2	-
7: Administrative		
Administrative Expenses	7.1	7.1
Transfers to Other Units of Government	7.2	7.3
Transfers to Non-entitlement Units (States and territories only)	-	7.4



Expenditure Category	EC ²⁹	Previous EC ³⁰
8: Emergency Relief from Natural Disasters		
Temporary Emergency Housing	8.1	-
Food Assistance	8.2	-
Financial Assistance for Lost Wages	8.3	-
Other Immediate Needs: Emergency Protective Measures	8.4	-
Other Immediate Needs: Debris Removal	8.5	-
Other Immediate Needs: Public Infrastructure Repair	8.6	-
Other Immediate Needs: Home Repairs for Uninhabitable Primary Residences	8.7	-
Other Immediate Needs: Cash Assistance for Uninsured or Underinsured Expenses	8.8	-
Other Immediate Needs: Cash Assistance for Low Income Households	8.9	-
Other Immediate Needs: Increased Operational and Payroll Costs	8.10	-
Other Emergency Relief: Natural Disaster that Has Occurred/Expected to Occur Imminently	8.11	-
Mitigation Activities	8.12	
Other Emergency Relief: Natural Disaster that is Threatened to Occur in the Future	8.13	-
9: Surface Transportation projects		
Surface Transportation Projects receiving funding from DOT	9.1	-
Surface Transportation Projects not receiving funding from DOT: Streamlined Framework	9.2	-
Non-federal share requirements for a Surface Transportation project or repaying a TIFIA loan	9.3	-
10: Title I projects		
Acquisition of real property	10.1	-
Acquisition, construction, reconstruction, or installation of public works, sites, or other public purposes	10.2	-
Code enforcement in deteriorated or deteriorating areas	10.3	-
Clearance, demolition, removal, reconstruction, and rehabilitation	10.4	-
Removal of barriers restricting mobility and accessibility of elderly and handicapped persons	10.5	-
Payments to housing owners for losses of rental income for holding units for relocation of displaced persons	10.6	-
Disposition or retention of real property	10.7	-
Provision of public services	10.8	-
Payment of non-federal match or cost-share requirements of a federal financial assistance program in support of activities that would be eligible under Title I	10.9	-
Payment of the cost of completing a project funded under title I of the Housing Act of 1949	10.10	
Relocation payments and assistance for displaced individuals, families, businesses, organizations, and farm operations	10.11	-
Community development plan or policy-planning-management capacity development	10.12	-
Payment of reasonable administrative costs related to establishing and administering federally approved enterprise zones, administering the HOME program, or planning and executing community development and housing activities.	10.13	-
Provision of assistance for activities carried out by public or private nonprofit entities	10.14	-



Expenditure Category	EC ²⁹	Previous EC ³⁰
Assistance to carry out a neighborhood revitalization or community economic development or energy conservation project, or for development of shared housing opportunities	10.15	-
Development of energy use strategies	10.16	-
Assistance to private, for-profit entities to carry out economic development projects	10.17	-
Rehabilitation or development of housing assisted under 42 U.S.C. 1437o	10.18	-
Technical assistance to public or nonprofit entities to increase their capacity to carry out neighborhood revitalization or economic development activities	10.19	-
Housing services	10.20	-
Assistance to institutions of higher education	10.21	-
Assistance to public and private organizations, agencies, and other entities to facilitate economic development	10.22	-
Activities necessary to make essential repairs and to pay operating expenses to maintain habitability of housing units acquired through tax foreclosure proceedings	10.23	-
Direct assistance to facilitate and expand homeownership	10.24	-
Construction or improvement of tornado-safe-shelters and assistance to nonprofit and for-profit entities for such construction or improvement	10.25	-
Lead-based paint hazard evaluation and reduction	10.26	-



Treasury has prepared the additional guidance below to support recipients in implementing the new expenditure categories. This table includes only those previous expenditure categories that are changing under the new structure, aligned with the 2022 final rule.

January 2022 Expenditure Categories		April 2022 Guidance
1: Public Health		
1.7	Capital Investments or Physical Plant Changes to Public Facilities that respond to the COVID-19 public health emergency	EC removed, capital expenditures can be designated in any relevant PH-NEI EC (e.g., new hospital wing would be tracked under EC 1.4)
1.8	Other COVID-19 Public Health Expenses (including Communications, Enforcement, Isolation/Quarantine)	EC is 1.7
1.9	Payroll Costs for Public Health, Safety, and Other Public Sector Staff Responding to COVID-19	EC is 3.1
1.10	Mental Health Services*	EC is 1.12
1.11	Substance Use Services*	EC is 1.13
1.12	Other Public Health Services	EC is 1.14
2: Negative Economic Impacts		
2.5	Household Assistance: Eviction Prevention	EC is now included as part of 2.2
2.6	Unemployment Benefits or Cash Assistance to Unemployed Workers*	EC is 2.9
2.7	Job Training Assistance (e.g., Sectoral job-training, Subsidized Employment, Employment Supports or Incentives)**^	EC is 2.10
2.8	Contributions to UI Trust Funds	EC is 2.28
2.9	Small Business Economic Assistance (General)**^	If public-health related (e.g., providing rapid tests for small businesses), EC is 1.8; if related to negative economic impact eligible use (e.g., grants, technical assistance, rehabilitation, incubators, or microbusinesses), EC is 2.29-2.33
2.10	Aid to Nonprofit Organizations*	If public-health related (e.g., providing rapid tests for non-profits), EC is 1.9; if related to negative economic impact (e.g., grants to stabilize non-profit budget), EC is 2.34
2.11	Aid to Tourism, Travel, or Hospitality	EC is 2.35
2.12	Aid to Other Impacted Industries	EC is 2.36
2.13	Other Economic Support**^	EC is 2.37, re-named Other Economic Impact
2.14	Rehiring Public Sector Staff	EC is 3.2
3: Services to Disproportionately Impacted Communities		
3.1	Education Assistance: Early Learning**^	EC is 2.14
3.2	Education Assistance: Aid to High-Poverty Districts ^	EC is 2.24
3.3	Education Assistance: Academic Services**^	EC is 2.25, social and emotional services will now be tracked under this EC
3.4	Education Assistance: Social, Emotional, and Mental Health Services**^	EC is 2.26, if social and emotional services, EC is 2.25;
3.5	Education Assistance: Other**^	EC is 2.37, collected under Other Economic Impact



January 2022 Expenditure Categories		April 2022 Guidance
3.6	Healthy Childhood Environments: Child Care**^	EC is 2.11
3.7	Healthy Childhood Environments: Home Visiting**^	EC is 2.12
3.8	Healthy Childhood Environments: Services to Foster Youth or Families Involved in Child Welfare System**^	EC is 2.13
3.9	Healthy Childhood Environments: Other**^	EC is 2.37, collected under Other Economic Impact
3.10	Housing Support: Affordable Housing**^	EC is 2.15
3.11	Housing Support: Services for Unhoused Persons**^	EC is 2.16
3.12	Housing Support: Other Housing Assistance**^	EC is 2.18
3.13	Social Determinants of Health: Other**^	EC is 2.37, collected under Other Economic Impact
3.14	Social Determinants of Health: Community Health Workers or Benefits Navigators**^	EC is 2.19
3.15	Social Determinants of Health: Lead Remediation^	EC is 2.20
3.16	Social Determinants of Health: Community Violence Interventions**^	EC is 1.11
5: Infrastructure		
5.16	Broadband: "Last Mile" projects	EC is 5.19
5.17	Broadband: Other projects	EC is 5.20
7: Administrative		
7.2	Evaluation and Data Analysis	EC is 3.4 and has been renamed Effective Service Delivery
7.3	Transfers to Other Units of Government	EC is 7.2
7.4	Transfers to Non-entitlement Units (States and territories only)	To be separately reported as part of NEU/Non-UGLG module. Refer to Part 2 Section D.



Appendix 2: Evidenced-Based Intervention Additional Information

What is evidence-based?

For the purposes of the SLFRF, with the exception of investments in educational services (see additional information below), evidence-based refers to interventions with strong or moderate evidence as defined below:

Strong evidence means that the evidence base can support causal conclusions for the specific program proposed by the applicant with the highest level of confidence. This consists of one or more well-designed and well-implemented experimental studies conducted on the proposed program with positive findings on one or more intended outcomes.

Moderate evidence means that there is a reasonably developed evidence base that can support causal conclusions. The evidence base consists of one or more quasi-experimental studies with positive findings on one or more intended outcomes OR two or more non-experimental studies with positive findings on one or more intended outcomes. Examples of research that meet the standards include: well-designed and well-implemented quasi-experimental studies that compare outcomes between the group receiving the intervention and a matched comparison group (i.e., a similar population that does not receive the intervention).

Preliminary evidence means that the evidence base can support conclusions about the program's contribution to observed outcomes. The evidence base consists of at least one non-experimental study. A study that demonstrates improvement in program beneficiaries over time on one or more intended outcomes OR an implementation (process evaluation) study used to learn about and improve program operations would constitute preliminary evidence. Examples of research that meet the standards include: (1) outcome studies that track program beneficiaries through a service pipeline and measure beneficiaries' responses at the end of the program; and (2) pre- and post-test research that determines whether beneficiaries have improved on an intended outcome.

For investments in educational services, "evidence-based", consistent with the American Rescue Plan Act, has the meaning in section 8101(21) of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 6301 *et seq.*). Please see page 16 of this [Frequently Asked Questions resource](#) on the Department of Education's Elementary and Secondary School Emergency Relief Programs and Governor's Emergency Education Relief Programs for more information.



Appendix 3: Expenditure Categories aligned with the 2021 Interim Final Rule

1: Public Health	
1.1	COVID-19 Vaccination ^
1.2	COVID-19 Testing ^
1.3	COVID-19 Contact Tracing
1.4	Prevention in Congregate Settings (Nursing Homes, Prisons/Jails, Dense Work Sites, Schools, etc.)*
1.5	Personal Protective Equipment
1.6	Medical Expenses (including Alternative Care Facilities)
1.7	Capital Investments or Physical Plant Changes to Public Facilities that respond to the COVID-19 public health emergency
1.8	Other COVID-19 Public Health Expenses (including Communications, Enforcement, Isolation/Quarantine)
1.9	Payroll Costs for Public Health, Safety, and Other Public Sector Staff Responding to COVID-19
1.10	Mental Health Services*
1.11	Substance Use Services*
1.12	Other Public Health Services
2: Negative Economic Impacts	
2.1	Household Assistance: Food Programs* ^
2.2	Household Assistance: Rent, Mortgage, and Utility Aid* ^
2.3	Household Assistance: Cash Transfers* ^
2.4	Household Assistance: Internet Access Programs* ^
2.5	Household Assistance: Eviction Prevention* ^
2.6	Unemployment Benefits or Cash Assistance to Unemployed Workers*
2.7	Job Training Assistance (e.g., Sectoral job-training, Subsidized Employment, Employment Supports or Incentives)* ^
2.8	Contributions to UI Trust Funds
2.9	Small Business Economic Assistance (General)* ^
2.10	Aid to Nonprofit Organizations*
2.11	Aid to Tourism, Travel, or Hospitality
2.12	Aid to Other Impacted Industries
2.13	Other Economic Support* ^
2.14	Rehiring Public Sector Staff
3: Services to Disproportionately Impacted Communities	
3.1	Education Assistance: Early Learning* ^
3.2	Education Assistance: Aid to High-Poverty Districts ^
3.3	Education Assistance: Academic Services* ^
3.4	Education Assistance: Social, Emotional, and Mental Health Services* ^
3.5	Education Assistance: Other* ^
3.6	Healthy Childhood Environments: Child Care* ^
3.7	Healthy Childhood Environments: Home Visiting* ^
3.8	Healthy Childhood Environments: Services to Foster Youth or Families Involved in Child Welfare System* ^
3.9	Healthy Childhood Environments: Other* ^
3.10	Housing Support: Affordable Housing* ^
3.11	Housing Support: Services for Unhoused Persons* ^



3.12	Housing Support: Other Housing Assistance* ^
3.13	Social Determinants of Health: Other* ^
3.14	Social Determinants of Health: Community Health Workers or Benefits Navigators* ^
3.15	Social Determinants of Health: Lead Remediation ^
3.16	Social Determinants of Health: Community Violence Interventions* ^
4: Premium Pay	
4.1	Public Sector Employees
4.2	Private Sector: Grants to Other Employers
5: Infrastructure	
5.1	Clean Water: Centralized Wastewater Treatment
5.2	Clean Water: Centralized Wastewater Collection and Conveyance
5.3	Clean Water: Decentralized Wastewater
5.4	Clean Water: Combined Sewer Overflows
5.5	Clean Water: Other Sewer Infrastructure
5.6	Clean Water: Stormwater
5.7	Clean Water: Energy Conservation
5.8	Clean Water: Water Conservation
5.9	Clean Water: Nonpoint Source
5.10	Drinking water: Treatment
5.11	Drinking water: Transmission & Distribution
5.12	Drinking water: Transmission & Distribution: Lead Remediation
5.13	Drinking water: Source
5.14	Drinking water: Storage
5.15	Drinking water: Other water infrastructure
5.16	Broadband: "Last Mile" projects
5.17	Broadband: Other projects
6: Revenue Replacement	
6.1	Provision of Government Services
7: Administrative	
7.1	Administrative Expenses
7.2	Evaluation and Data Analysis
7.3	Transfers to Other Units of Government
7.4	Transfers to Non-entitlement Units (States and territories only)

**Revision Log**

Version	Date Published	Summary of changes
1.0	June 17, 2021	Initial publication
1.1	June 24, 2021	<ul style="list-style-type: none"> • Pg. 12, removed references to "summary" level with respect to reporting by Expenditure Categories in the Interim Report to avoid confusion. • Pg. 13, revised the coverage period end date for the Interim Report from June 30, 2021 to July 31, 2021 to align with the IFR. • Pg. 13, removed references to "summary" level with respect to reporting by Expenditure Categories in the Interim Report to avoid confusion. • Pg. 31, removed references to "summary level" with respect to Expenditure Categories in Appendix 1 to avoid confusion.
1.1	September 30, 2021	<ul style="list-style-type: none"> • Announced the extension in the Project and Expenditure Report submission date, originally due on October 31, 2021.
2.0	November 5, 2021	<ul style="list-style-type: none"> • Updated Subrecipient Monitoring section to clarify beneficiaries and recipients. • Updated references to 2021 Interim Final Rule comment period as comment period is closed. • Updated reporting tiers, thresholds and timelines in Part 2 Table 2, Reporting Requirements by recipient type, as well as Part 2 A and Part 2 B. • Updated reporting periods for Interim Report and Project and Expenditure reports. • Added concept of Adopted Budget to Project and Expenditure Report data fields. • Noted phase in of Required Programmatic Data in the Project and Expenditure Report. • Removed certain data fields from the Ineligible Activities: Tax Offset Provision under the Recovery Plan. • Separated reporting of NEU Distributions (for States and territories) from the Interim Report and Project and Expenditure Reports as information will be provided on an ongoing basis.
2.1	November 15, 2021	<ul style="list-style-type: none"> • Updated pages 9 and 11 to note that civil rights certification is not applicable to Tribal Governments.
3.0	February 28, 2022	<ul style="list-style-type: none"> • Updated to incorporate reporting updates under the 2022 final rule
4.0	June 10, 2022	<ul style="list-style-type: none"> • Updated Recovery Plan guidance to incorporate minor revisions • Updated language around certain data fields that were required for April 2022 reporting • Updated data fields for Ineligible Activities: Tax Offset Provision for the Project and Expenditure report • Updated Broadband data fields
4.1	June 17, 2022	<ul style="list-style-type: none"> • Updated clerical errors in Ineligible Activities: Tax Offset Provision
4.2	August 15, 2022	<ul style="list-style-type: none"> • Updated to clarify resources for Uniform Guidance applicability and add a reference to an alternative to the Single Audit available for eligible recipients
5.0	September 20, 2022	<ul style="list-style-type: none"> • Updated to note phase in of broadband location by location data fields
5.1	June 1, 2023	<ul style="list-style-type: none"> • Updated to include Fabric ID and Provider ID fields for broadband location by location data collection.



Version	Date Published	Summary of changes
5.2	September 27, 2023	<ul style="list-style-type: none">• Updated to reflect changes from the 2023 Interim Final Rule• Updated reporting related to subrecipient Unique Entity Identifier (UEI)