

NAVAJO NATION BROADBAND OFFICE
REQUEST FOR PROPOSAL
ERate Consultant
RFP 23-07-3073GC

PROPOSAL DUE DATE: 3:00 p.m. MST August 8, 2023

SECTION I

A. BACKGROUND

NNBO under the Office of the President and Vice President is responsible for providing Navajo Nation residents with access to affordable high-speed broadband connectivity.

B. SCOPE OF WORK

The NNBO is seeking proposals from qualified vendors for ERate consulting services, ERate Project Management (PM) services and development of a web-based tracking program. NNBO may or may not include the PM services in the final award. NNBO may or may not include the development of a web-based tracking program in the final award. This request for proposal (RFP) states the overall scope of products and services desired, technology foundation, and desired vendor qualifications.

ERATE CONSULTING SERVICES SHALL INCLUDE:

E-Rate Consulting Service

1. **Navajo Nation Access** - E-Rate Consultant will be available to the Navajo Nation by phone, email, or in person to address Navajo Nation related E-Rate Funding issues. Navajo Nation will provide E-Rate Consultant with a minimum of 72 hours' notice of a request for onsite service.
2. **Program Updates** - E-Rate Consultant will update the Navajo Nation on changes in the E-rate process and help staff to take advantage of newly eligible products and services including Emergency Connectivity Program.
3. **Program Compliance** - E-Rate Consultant will assist the Navajo Nation to verify that USAC rules are being followed and, if necessary, provide guidance on new processes or procedures to ensure program compliance, in regard to Bid Evaluations, Procurement, Technology Plans, CIPA compliance, Technology Budget, and Document Retention.
4. **Extension** - File paperwork with USAC to extend the E-Rate funding if needed or required,

E-rate Application Management

1. **Needs Assessment and Strategic Planning** - E-Rate Consultant will assist the Navajo Nation to determine a Filing Strategy that best meets the Navajo Nation's needs to maximize the Navajo Nation's E-Rate funding opportunities.
2. **Determination of Funding Request Amount** - E-Rate Consultant will prepare the required "Item 21 Attachment Sheet", by; review one (1) month of the Navajo Nation's bills from eligible Service Providers to determine an estimated annual funding request, review of Navajo Nation's current annual contract(s) for eligible services, and/or review of new contract(s) for eligible services.

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3. **File Forms** - E-Rate Consultant will prepare and file the following forms required by USAC's School and Library Division to receive E-rate Category One Telecommunications and Internet Access funding: Form 470, Form 471, and Form 486.
4. **Administration of PIA Process** - E-Rate Consultant will assist the Navajo Nation in responses to and delivery of the required documentation for USAC's "Program Integrity Assurance" (PIA) information requests.
5. **Service Provider Collections** - E-Rate Consultant will prepare the Service Provider's required forms ("Discount Grids") to have the Navajo Nation's eligible discounts added to the monthly Service Provider Bills (SPI Method) or prepare and file the Form 472 (BEAR Method) to have a reimbursement check issued for the eligible discount amount.
6. **Application Status** - E-Rate Consultant will provide the Navajo Nation with progress status on applications, reviews, and modifications, for the Navajo Nation's open funding requests.
7. **Service Delivery Applications** – When required, the E-Rate Consultant will assist the Navajo Nation filing Service Delivery Extensions, FCC Request for Waivers and filing Form 500's as a part of the annual E-Rate Consultant service contract.

Request for Proposal (RFP) Management Services

1. **Develop RFP Documents** - E-Rate Consultant will develop a Request for Proposal (RFP) for Category One Services in compliance with the Navajo Nation's Local/State and the E-Rate Program's procurement requirements. If newspaper publication is required, E-Rate Consultant will assist the Navajo Nation with compliance at least 20 days prior to receipt of responses to the Form 470.
2. **RFP Tracking** - E-Rate Consultant will distribute and track, in electronic form only, the "RFP Documents" to prospective bidders through the EPC Portal, E-Rate Consultant's "Projects" website, and the Navajo Nation Procurement website.
3. **Administration of RFP Process** - E-Rate Consultant will prepare and distribute project clarification(s) and/or addenda(s) to address questions from prospective bidders.
4. **Bid Opening** - E-Rate Consultant will assist in the opening of bid response(s).
5. **Bid Evaluation** - E-Rate Consultant will assist in the evaluation of the bid responses based on the E-Rate Program's requirements for the "Evaluation of Bids" and provide the Navajo Nation with recommendations for the award of contract(s).
6. **Contract Negotiation** – E-Rate Consultant shall assist the Navajo Nation negotiate contracts with Service Providers.
7. **Contract Administration** - E-Rate Consultant will collect the documents necessary for the award of contract from the successful bidder and coordinate the delivery to the Navajo Nation for execution.

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Audit Assistance

1. **Document Retention** - E-Rate Consultant will maintain a copy of the documents required for E-Rate Program's "Document Retention Policy", including; "Pre-bidding Process", "Bidding Process", "Award Contracts", "Application Process", "Purchase and Delivery of Service", "Invoicing", "Inventory", and "Forms and Rules Compliance", for up to 10 years from the last date of service.
2. **Document Assistance** - E-Rate Consultant will assist the Navajo Nation in the preparation and delivery of the Auditor requested documentation.
3. **Support Services** -E-Rate Consultant will represent the Navajo Nation during all E-Rate Audits.

Category Two RFP and E-Rate Application Management Services:

Procurement Consulting, including:

1. Coordinate with the Navajo Nation to determine the "Procurement Programming" requirements, including, overall project scope, procurement objectives, and E-Rate program compliance.
2. Present to the Navajo Nation, for their approval, a procurement process and "Bidding Document" format that addresses both the Local/State and E-Rate program rules and regulations.
3. Develop a "Bid Schedule" that complies with the Navajo Nation's and the E-Rate Program's procurement and award of contract requirements.

Bid Document Development, including:

1. Develop a "Bidding Document" based on the Navajo Nation's specific procurement programming requirements. Bidding Document provided by E-Rate Consultant to include; Bidder's Instructions, Procurement Compliance language, E-Rate Program Compliance language, General Conditions, and Bid Forms.
2. Integrate the Navajo Nation's provided "Design Documents" into the "Bidding Document" to produce a complete Request for Proposal (RFP). The "Design Document" provided by the Navajo Nation will include, at a minimum, the following; scope of work, equipment and/or performance specifications, and a depiction of the existing affected site and/or system conditions.

Bid Process Management, including:

1. E-Rate Consultant shall assist in oversight and management of the procurement process to ensure compliance with "bidding documents and E-Rate procurement requirements.
2. Assist the Navajo Nation in the preparation of a "Notice of Advertisement" and/or Form 470 publication language.
3. Publish the Request for Proposal (Bidding and Design Documents) on the EPC bidding portal, E-Rate Consultant's "Projects" website, and the Navajo Nation procurement website.
4. Maintain a "Bidder's List" and document library for each project.

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5. Assist the District in the response to prospective bidder's Pre-Bid request for information. Prepare and distribute project clarification(s) and addenda(s) to address questions from prospective bidders.
6. Organize and conduct opening of bid response(s). All bid openings will be conducted at the Navajo Nation.

E-Rate Application Management, including:

1. Consult with the Navajo Nation to determine the filing strategy that best suits their needs.
2. Prepare and submit to the Navajo Nation, for their certification, the following program forms; Form 470, Form 471, and Form 486.
3. Monitor and inform the Navajo Nation of their Application and Funding Commitment status.
4. Coordinate with the Navajo Nation and Service Provider to respond to Program Integrity Assurance (PIA) questions.
5. Assist the Navajo Nation, if requested, in the preparation of program auditor's requested documentation.
6. Provide the Navajo Nation with one (1) Electronic and one (1) Hardcopy copy of all pre-Form 471 "Bidding Documents", bid evaluations, and contracts, as required for Document Retention per the E-Rate program.
7. Prepare and submit the Service Delivery Extension and/or Invoice Deadline Extension request(s).
8. Prepare and submit the Form 500 for certification and approval.
9. Prepare and submit **One (1)** Applicant Reimbursement Form 472 for certification and approval, per project.

E-Rate Consultant will provide the Navajo Nation with a web-based Microsoft SharePoint site with access throughout the life of an active contract. The SharePoint site will serve as the repository for documentation and information applicable to the Navajo Nation and the E-Rate Services provided by E-Rate Consultant. User access shall be requested by the Navajo Nation point of contact.

Monthly E-Rate status updates will be provided to the Navajo Nation through the SharePoint Site. These status updates will include information regarding contracts, funding requests, and information pertaining to the goods and services provided to the Navajo Nation through the E-Rate program.

Tracking documentation for E-rate locations applicable to the Navajo nation shall be accomplished by documentation within the pre-mentioned SharePoint. When provided by the Navajo Nation, E-Rate Consultant will update and verify information within documentation regarding E-Rate sites and projects. This will be accomplished quarterly or as necessary to keep documentation accurate.

Consultant will provide training to Navajo Nation staff on E-rate rules and will design and implement E-rate management processes for Navajo Nation departments.

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E-Rate Consultant will provide training upon request and will assist with the E-rate needs and process of the Navajo Nation.

Consultant will make recommendations for effective administration of the Navajo Nation E-rate program including staffing, funding, check and balances, reporting, communication, and coordination among the offices of the Navajo Nation.

Consultant will also assist in non-E-rate funding opportunities and advise Navajo Nation staff on best practices and how other funding opportunities can be advantageous.

PROJECT MANAGEMENT SERVICES SHALL INCLUDE:

- Manage paperwork flow between E-Rate Service Providers, the Navajo Nation, and the states of New Mexico, Arizona and Utah,
- Meet (at least) weekly with E-Rate Service Providers to monitor progress and provide weekly reports to Navajo Nation and to the states of New Mexico and Arizona as needed,
- Mitigate issues as they arise during the construction process,
- Work with Navajo Nation staff to ensure computers are installed at each Chapter House site to be used for Library services,
- Work with Navajo Nation library staff to ensure Navajo Nation staff is trained on the use of library computers,
- Once fiber services are installed, to make sure broadband services are ordered and installed,
- Work alongside Head Start staff to ensure proper installation of new fiber lines and data circuits are installed,
- At the Head Start facilities, once the new fiber services are installed, to work with Head Start staff to ensure the old Internet services are cancelled,
- Review and approve all Service Provider billing to USAC and state matching funds.
- On a bi-weekly basis, provide NNBO a Summary and Detailed report on the overall status of Chapter Library and Head Start sites including outstanding items
- Provide Project Management timelines/schedules/milestones for construction completion
- Provide overall Navajo Nation ERate Project report on Funding Year awards, listing sites awarded, associated RFPs and Navajo Nation contracts
- Assist NNBO to compile Navajo Nation ERate Project reports for Navajo Nation Leadership. May entail status, financials, timelines, etc. dependent on which Leadership body is requesting the report.

DEVELOPMENT OF ELECTRONIC WEB-BASED TRACKING PROGRAM:

Development of electronic web-based tracking program capable of tracking all E-rate contracts, status of each funding request, payments to Consultant from the Navajo Nation or from E-rate and the delivery of goods or services purchased with E-rate funds. All RFPs, contracts, award notices, and other important documentation shall be hosted on the tracking system for access by users. Consultant shall make this web-based tracking system available to the NNBO team through user accounts to access all areas of the tracking system. Consultant

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shall also develop a tracking system for all E-rate locations to track location information such as geographic coordinates, address, status of networking equipment room, status of library space, signage status, library staffing status, library computer status, construction status, equipment installation status, CIPA compliance, state library training status, state library requirements compliance. Other items to be tracked may be added as necessary.

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SECTION II

A. ISSUING OFFICE: This RFP is issued by NNBO, 1575E State Hwy 264 Tse Bonito, New Mexico.

POINT OF CONTACT: Sonia Nez, Department Manager
Email: sonianez@navajo-nsn.gov

Advertisements: <https://www.nnooc.org/request-for-proposals/> BID NUMBER: **23-07-**

3073GC

B. PURPOSE: This RFP provides prospective respondents with sufficient information to enable them to prepare and submit a proposal for consideration.

C. SCOPE: This RFP contains the instructions governing the proposal to be submitted and the material to be included therein; mandatory requirements which must be met to be eligible for consideration; and other requirements to be met by each proposal.

D. PROCUREMENT OF RFP: This procurement shall be conducted in accordance with all applicable Navajo Nation laws and regulations including the Navajo Business Opportunity Act. All applicable rules, regulations, and laws shall also be followed. Prospective Vendors shall familiarize themselves with Navajo Nation regulations prior to submitting responses to this RFP, and may download a copy of the Navajo Nation procurement regulations from the Navajo Nation Office of the Controller at the following link: [Procurement Rules and Regs BFD-192-03](#)

NNBO will make every effort to adhere to the following schedule.

SCHEDULE OF ACTIVITIES:	DEADLINE:
RFP Posting	July 25, 2023
Proposal inquiry deadline	August 4, 2023
Proposal due date	August 8, 2023, 3 p.m. MST
Contract Award	August 11, 2023

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- E. INQUIRIES:** No inquiries will be accepted after the inquiry deadline listed in section D. If Service Providers have any questions or inquiries regarding this RFP, those inquiries shall be directed to Sonia Nez. All questions will be answered in addendum(s) sent out to all Service Providers. Any and all updated project information, forms, including addenda, will be distributed through the Navajo Nation Office of the Controller (NNOOC) website, located at <https://www.nnooc.org/request-for-proposals/>
- F. ADDENDUM OF SUPPLEMENT TO THIS REQUEST FOR PROPOSALS:** In the event that it becomes necessary to revise any part of this RFP, an addendum will be issued.
- G. PROPOSAL SUBMISSION:** All respondent proposals must be received for review and evaluation by the Point of Contact no later than the deadline listed in Section D. Proposals received after this deadline will not be accepted. The date and time of receipt will be recorded on each proposal.

Hand Delivered to: Navajo Nation Broadband Office
ATTN: Sonia Nez, Department Manager
1575E Highway 264
Tse Bonito, New Mexico 87305

OR

Emailed to: Sonia Nez at sonianez@navajo-nsn.gov
CC: Madelena Kee at mkee@navajo-nsn.gov
Subject Line: RFP 23-07-3073GC – ERate Consultant – [Vendor Name]

- H. HARD COPY/ELECTRONIC RESPONSES:** Due to the short window for response, Respondents can deliver:
- OPTION 1: (1) Emailed electronic copy (zip file). The emailed electronic copy must be in a zip file format. The proposal must be numbered and indexed as outlined in the response format and organization. Email (1) “**RESPONSE – RFP 23-07-3073GC**” zip file and (1) “**COST – RFP 23-07-3073GC**” zip file. Indicate “PR 1” or “PR 2” at the end of the file name, if applicable.
- OPTION 2: (1) Original Hard Copy and (1) electronic version (USB Jump Drive). The electronic version/copy of the proposal must mirror the physical binders submitted. The original, hard copy and electronic copy information must be identical. In the event of a conflict between versions of the submitted proposal, the Original hard copy shall govern.
- Respondent’s proposal must be clearly labeled and numbered and indexed as outlined in the response format and organization. Proposals must be submitted as outlined below. Envelopes, packages or boxes containing the original must be clearly labeled and submitted in a sealed envelope, package, or box bearing the following information:
- Cost:** In a separate sealed envelope to be included in the proposal envelope, please identify the total cost for completing the project. The outside of the envelope should be clearly marked - “**COST – RFP # 23-07-3073GC ERate Consultant**” and the name and address of the firm

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submitting the proposal. Visibly mark “Priority 1” or “Priority 2” on the outside of the proposal package, if applicable, the offeror's priority status under the Navajo Nation Business Opportunity Act.

Instructions to offerors to visibly mark on the outside of the proposal package, if applicable, the offeror’s priority status under the Navajo Nation Business Opportunity Act. It is the responsibility of the offeror to identify themselves as certified under the Navajo Nation Business Opportunity Act.

Bid opening will be held in accordance to Navajo Nation Procurement Procedures. No emailed or faxed responses shall be considered. The NNBO reserves the right to reject any or all responses, and to waive any or all formalities in connection with this request. Any responses after the above due date and time will not be accepted or considered.

I. PROPOSAL FORMAT

All proposals must be typewritten or printed sheet faces of text and/or graphic material on standard 8 1/2” x 11” paper (larger paper, 11” x 17”, is permissible for charts, spreadsheets, etc.) and placed in a three-ring binder with labels identifying each section. The Table of Contents should reflect the Proposal Outline below.

Non-Conforming Proposal

Any proposal deemed non-conforming by the Point-of-Contact in regard to format will be considered non-responsive. Respondents shall contact the Point-of-Contact to clarify any questions concerning format prior to submission.

Amendments:

Changes to this Request for Proposals shall be issued only by the Point-of-Contact in writing.

A. Proposal Outline

- 1) Table of Contents
- 2) Signed Letter of Transmittal – To be completed and signed by an individual person authorized to obligate the company and to include:
 - a. Identify the submitting business entity.
 - b. Identify the name, title, telephone, and e-mail address of the person authorized by the Respondent organization to contractually obligate the business entity providing the Offer.
 - c. Identify the name, title, telephone, and e-mail address of the person authorized to negotiate the contract on behalf of the organization
 - d. Identify the names, titles, telephone, and e-mail addresses of persons to be contacted for clarification/questions regarding proposal content.
 - e. Describe the relationship with any other entity that will be used in the performance of this awarded contract.
 - f. Explicitly indicate acceptance of the conditions governing this procurement
 - g. Acknowledge receipt of any and all amendments to the RFP
- 3) Statement of Qualifications in performing the services sought

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- 4) Key Personnel Resumes or other description of qualifications of relevant experience and knowledge
- 5) List of similar services provided to other clients on the Navajo Nation in the last five years
- 6) Tribal References – Name, organization, and contact information
- 7) Navajo Preference, Certificate of Eligibility issued by the Navajo Business regulatory Department (if applicable)
- 8) Required insurance documents, i.e. Certificate of Liability Insurance
- 9) Completed and signed W-9 Form
- 10) Completed and signed Navajo Nation Certification Regarding Debarment and Suspension (Appendix F)
- 11) ERate Experience - Provide experience relevant to Scope of Work for:
 - a. ERate Consulting
 - b. ERate Project Management
 - c. Development of electronic web-based tracking program
- 12) Cost Response –
 - a. Provide 1-year & 3-year Fixed fee cost
 - b. Provide separate cost for
 - i. ERate Consulting
 - ii. ERate Project Management
 - c. Provide separate cost to development an electronic web-based tracking program

J. REJECTION OF PROPOSALS: NNBO reserves the right to reject any and all proposals. This RFP may be canceled at any time and all proposals may be rejected in whole or in part when the NNBO Department Manager I determines it is in the best interest of the Navajo Nation.

K. PROPRIETARY INFORMATION: Any restriction on the use of data contained within any proposals must be clearly stated in the proposal itself. Proprietary information submitted in response to this RFP will be handled in accordance with applicable purchasing procedures. Each and every page of the proprietary material **must be** labeled or identified with the word “**proprietary**”.

L. RESPONSE MATERIAL OWNERSHIP: All material submitted regarding this RFP shall become the property of The Navajo Nation and will not be returned to the respondent. Responses received will be retained by NNBO and may be reviewed by any person after final selection has been made, subject to paragraph I above. NNBO has the right to use any or all system ideas presented in reply to this RFP, subject to limitations in paragraph I above. Disqualification or non-selection of a respondent or proposal does not eliminate this right.

M. INCURRING COSTS: NNBO is not liable for any cost by the respondents prior to issuance of a contract.

N. ACCEPTANCE TIME: NNBO intends to make a vendor selection within five (5) working days

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after the closing date for receipt of proposals.

O. SUFFICIENT APPROPRIATION: A contract awarded as a result of this RFP is contingent upon the availability of funds. A contract may be terminated or reduced in scope if sufficient funds do not exist. Sending written a notice to the Vendor shall affect such termination or reduction in scope. The NNBO Department Manager I decision to terminate or reduce the scope due to insufficient appropriations shall be accepted as final by the Vendor.

P. EVALUATION PROCEDURES AND CRITERIA.

1. An evaluation team will judge the proposals received in accordance with the general criteria used herein. Respondents should be prepared to provide any additional information the team feels necessary for the fair evaluation of proposals.
2. Failure of a respondent to provide any information requested in the RFP may result in disqualification of the proposal. All proposals must be endorsed with the signature of a responsible official having the authority to bind the respondent to the execution of a contract.
3. The sole objective of the review team will be to select the respondent who is most responsive to the needs of NNBO. The specifications in this RFP represent the minimum performance necessary for a response. On the basis of the evaluation criteria established in this RFP, the review team will select and recommend the respondent who best meets this objective. If there is only one responsive bid, the NNBO Department Manager I may elect to evaluate RFP solely.
4. Evaluation Criteria: The contract(s) shall be awarded to the Respondent (or Respondents) whose proposals are most advantageous to the Navajo Nation Broadband Office taking into consideration the evaluation factors set forth in this RFP. The most advantageous proposal may or may not have received the most points.

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Evaluation Criteria	
Bid Organization a. See Section II, H & I	3
Letter of Transmittal a. See Section II, I, 2	15
Qualification/Experience a. See Section II, I, A, 3-11	40
Proposed cost a. See Section II, I, A, 12	42
	100

- Q. STANDARD CONTRACT:** The Navajo Nation reserves the right to incorporate standard contract provision into any contract negotiations as a result of a proposal submitted in response to the RFP.
- R. TAX:** All appropriate taxes should be **included in the cost of services including the Navajo Sales Tax**. All work performed within the territorial jurisdiction of the Navajo Nation is subject to the Navajo Sales Tax of 6% (24 N.N.C. Section 601 et. seq.).
- S. TERM:** The term of this contract will be from the date of award to December 31, 2026
- T. SOVEREIGNTY:** The Navajo Nation will not relinquish any of its sovereignty rights.
- U. COMPLIANCE WITH LAWS AND REGULATIONS:** The successful Vendor shall comply with all Federal, Tribal, State, and Local laws, regulations and Navajo Nation rules and policies pertaining to work under its charge, and shall, at its expense, procure any permits that may be required.
- V. THE PAYMENT PROCEDURES** established by the Division of Finance shall be adhered to and are to begin whenever Goods are delivered and accepted.
- W. INDEMNIFICATION:** To the fullest extent permitted by law, or as otherwise defined in the Contract, the successful Vendor shall indemnify and hold harmless the Navajo Nation and its officials, employees and agents from and against all claims, liens or demands that result in losses, liabilities, defense costs and expenses (including but not limited to attorney’s fees and costs of litigation) arising out of the term, conditions and performance under the contract. The Vendor further agrees to indemnify and hold harmless the Navajo Nation, its agents, or employees, against claims or liability arising from or based upon the violation of any federal, state, county, city, or other applicable laws, bylaws, ordinances, or regulations by the Vendor, its agents, associates, or employees.

The indemnification provided above shall obligate the Vendor to defend at its own expense or to

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provide for such defense, at the Navajo Nation's option, of any and all claims of liability and all suits and actions of every name and description that may be brought against the Navajo Nation which may result from the operations and activities under any Contract resulting from this RFP.

The award of this Contract to the Vendor shall obligate the Vendor to comply with the foregoing indemnity

NAVAJO NATION CERTIFICATION
Regarding Debarment, Suspension, and
Contracting Eligibility

1. Applicant entity acknowledges that to the best of its knowledge that the Applicant entity, either in its present form or in any identifiable capacity, has not, in accordance with 12 N.N.C. § 361:
 - A. Been convicted of the commission of criminal offenses incident to obtaining or attempting to obtain a public or private contract or subcontract, or in the performance of any such contract or subcontract;
 - B. Been convicted of embezzlement, theft, forgery, bribery, falsification or destruction of records, receiving stolen property, or other offenses indicating a lack of business integrity or honesty, which currently, seriously, and directly affect responsibility as a Navajo Nation contractor;
 - C. Been convicted under antitrust statutes arising out of the submission of bids or proposals;
 - D. Violated contract provisions, including:
 - i. Deliberate failure, without good cause, to perform in accordance with the contract specifications or within the time limit provided in the contract,
 - ii. A recent record of failure to perform or of unsatisfactory performance with the terms of any contract, or
 - iii. Any other cause so serious and compelling as to affect responsibility as a Navajo Nation contractor, including debarment by another governmental entity.
2. Applicant acknowledges that if the Navajo Nation determines that the executed Certification provided herein is untrue or not wholly accurate, it shall be grounds for the Navajo Nation to terminate the contract and pursue other legal remedies, at the Navajo Nation's discretion.
3. Applicant certifies to the best of its knowledge that it is eligible to do business with the

Navajo Nation, in its present form or in any other identifiable capacity, pursuant to 12 N.N.C. § 1501 and 5 N.N.C. § 301. Applicant also acknowledges that per 12 N.N.C. § 1505, it will not be eligible to contract with the Navajo Nation if deemed ineligible by the appropriate department or entity of the Navajo Nation which receives the Applicant's request for consideration for a business opportunity.

Applicant Name

Name of individual signing on Applicant's behalf (print)

Applicant Address

Title of individual signing on Applicant's behalf

Applicant Address

Signature of individual signing on Applicant's behalf

Applicant Address

Date

Request for Taxpayer Identification Number and Certification

**Give Form to the
 requester. Do not
 send to the IRS.**

▶ Go to www.irs.gov/FormW9 for instructions and the latest information.

Print or type. See Specific Instructions on page 3.	1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.		
	2 Business name/disregarded entity name, if different from above		
	3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes.		4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):
	<input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate		Exempt payee code (if any) _____
	<input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ _____ Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.		Exemption from FATCA reporting code (if any) _____
	<input type="checkbox"/> Other (see instructions) ▶ _____		<i>(Applies to accounts maintained outside the U.S.)</i>
	5 Address (number, street, and apt. or suite no.) See instructions.		Requester's name and address (optional)
6 City, state, and ZIP code			
7 List account number(s) here (optional)			

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number									
-				-					
or									
Employer identification number									
-									

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here	Signature of U.S. person ▶	Date ▶
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General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting*, later, for further information.

Note: If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States.

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items.

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 24% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the instructions for Part II for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships*, earlier.

What is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code*, later, and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

Note: ITIN applicant: Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or “doing business as” (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C corporation, or S corporation.** Enter the entity’s name as shown on the entity’s tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a “disregarded entity.” See Regulations section 301.7701-2(c)(2)(iii). Enter the owner’s name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner’s name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity’s name on line 2, “Business name/disregarded entity name.” If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

Line 3

Check the appropriate box on line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box on line 3.

IF the entity/person on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation
• Individual • Sole proprietorship, or • Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.	Individual/sole proprietor or single-member LLC
• LLC treated as a partnership for U.S. federal tax purposes, • LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or • LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes.	Limited liability company and enter the appropriate tax classification. (P= Partnership; C= C corporation; or S= S corporation)
• Partnership	Partnership
• Trust/estate	Trust/estate

Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space on line 4 any code(s) that may apply to you.

Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys’ fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 5 ²
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)

J—A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

Note: You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns. If this address differs from the one the requester already has on file, write NEW at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note: See *What Name and Number To Give the Requester*, later, for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.SSA.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/Businesses and clicking on Employer Identification Number (EIN) under Starting a Business. Go to www.irs.gov/Forms to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to www.irs.gov/OrderForms to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note: Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, 4, or 5 below indicates otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code*, earlier.

Signature requirements. Complete the certification as indicated in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.

You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.

You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), ABLE accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor ²
5. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee ¹
b. So-called trust account that is not a legal or valid trust under state law	The actual owner ¹
6. Sole proprietorship or disregarded entity owned by an individual	The owner ³
7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor*
For this type of account:	Give name and EIN of:
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity ⁴
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee

For this type of account:	Give name and EIN of:
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

¹ List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

² Circle the minor's name and furnish the minor's SSN.

³ You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships*, earlier.

*Note: The grantor also must provide a Form W-9 to trustee of trust.

Note: If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records From Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a systemic problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes.

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at spam@uce.gov or report them at www.ftc.gov/complaint. You can contact the FTC at www.ftc.gov/idtheft or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see www.IdentityTheft.gov and Pub. 5027.

Visit www.irs.gov/IdentityTheft to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

**NAVAJO NATION BROADBAND OFFICE
REQUEST FOR PROPOSAL
ERATE CONSULTANT
RFP 23-07-3073GC**

ADDENDUM #1

Answers to Service Provider Questions:

1. **QUESTION:** The RFP is currently due on August 8, 2023, and given the size and scope of the RFP is not feasible to provide a viable response on this timetable. Is the Navajo Nation willing to extend the submission deadline to August 25, 2023?

RESPONSE: After careful consideration, unfortunately, due to the immediate need of the Navajo Nation, an extension is not feasible. The due date remains August 8, 2023.

2. **QUESTION:** The Navajo Nation Tribal Consortium has filed under billed entity 17023688. Are there any other billed entities the Nation has filed or intends to file under?

RESPONSE: No

3. **QUESTION:** USAC's open data system identifies a total of 183 members or child entities associated with the consortium (see file labeled Navajo Nation Tribal Consortium Members). Is this an exhaustive list of the current members of the consortium?

RESPONSE: At this time, it's the most exhaustive list but that does not mean additional sites may come on line over the next three years.

4. **QUESTION:** The FCC recently adopted Report and Order FCC 23-56 which expanded E-rate eligibility to include Tribal College and University that meet certain criteria. Are there any newly eligible libraries that may join the consortium and should be considered as part of this scope of work?

RESPONSE: It's too early to tell if our Tribal college libraries may choose to apply for ERate funding either as a part of our consortium or separately.

5. **QUESTION:** Are there any E-rate eligible entities that are not currently participating in the consortium that should be considered as part of this scope of work?

RESPONSE: Most likely there will be additional entities applying for ERate funding in the next three years but it's not known who at this time.

6. **QUESTION:** Is the consultant expected to coordinate directly with the individual consortium members or will the work all be centralized at the Navajo Broadband Office?

RESPONSE: Work all centralized at the Navajo Nation Broadband Office (NNBO). NNBO works closely with the individual consortium members.