NAVAJO D.O.T.

NAVAJO DIVISION OF TRANSPORTATION

POST OFFICE BOX 4620, WINDOW ROCK, AZ 86515

TEL: 505.371.8300/8301 FAX: 505.371.8399

NAVAJO DIVISION OF TRANSPORTATION

ADDENDUM NO. 1

REQUEST FOR QUALIFICATIONS NO. 26-09-4303DB

ON-CALL AIRPORT ENGINEERING, ENVIRONMENTAL, CONSTRUCTION ADMINISTRATION, AND RELATED PROFESSIONAL SERVICES

Original RFQ Issue Date: September 17, 2026

Addendum Date: September 23, 2026

Procurement Contact: Michael M. Tsosie

Email: mmtsosie@navajodot.org

1. Purpose of Addendum

This Addendum No. 1 is issued to extend the deadline for submission of Statements of Qualifications ("SOQs") in order to provide additional time for interested firms to prepare and submit qualifications for the above-referenced Request for Qualifications ("RFQ").

All other terms, conditions, requirements, instructions, and provisions of the RFQ remain unchanged unless specifically modified by this Addendum No. 1.

2. Revised RFQ Schedule

The RFQ schedule is revised as follows:

RFQ Item	Original Date/Time	Revised Date/Time
RFQ Issue Date	September 18, 2026	**No change**
Deadline for Written Questions	Friday, September 25, 2026, 12:00 p.m. MST	**Thursday, October 15, 2026, at 12:00 p.m. MST**

Statement of Qualifications Due	Tuesday, September 29, 2026, at 12:00 p.m. MST	**Monday, October 19, 2026, at 12:00 p.m. MST**
Public Opening / Proposal Register	Wednesday, September 30, 2026, at TBD	**Monday, October 19, 2026, at TBD**

The revised SOQ submission deadline is approximately thirty (30) calendar days after the RFQ issue date.

3. Revised Submission Deadline

Replace every reference in the RFQ to the prior deadline for Statements of Qualifications with the following:

Statement of Qualifications Due: Monday, October 19, 2026, no later than 12:00 p.m. MST.

Electronic SOQs must be received at **mmtsosie@navajodot.org** no later than 12:00 p.m. MST on Monday, October 19, 2026.

Hard-Copy Submissions:

SOQs must be physically received at one of the RFQ-designated delivery locations no later than 12:00 p.m. MST on Monday, October 19, 2026. Firms delivering a hard-copy SOQ shall obtain a date- and time-stamped receipt from the receiving location.

The time shown in the Navajo Nation's email system, or the date- and time-stamped receipt issued at the designated delivery location, as applicable, will govern whether an SOQ is timely received.

4. Revised Physical Package Marking

Replace the prior "DO NOT OPEN UNTIL" marking with the following:

RFQ NO. 26-09-4303DB

ON-CALL AIRPORT ENGINEERING SERVICES

ATTENTION: MICHAEL M. TSOSIE

DO NOT OPEN UNTIL MONDAY, OCTOBER 19, 2026, after 12:00 P.M. MST

5. Questions and Addenda

Written questions concerning the RFQ or this Addendum must be submitted to Michael M. Tsosie by email at **mmtsosie@navajodot.org** no later than **Thursday, October 15, 2026, at 12:00 p.m. MST.**

The email subject line for questions shall read:

RFQ No. 26-09-4303DB – Question – On-Call Airport Engineering Services

Oral interpretations are not binding. The Navajo Nation may respond to questions through a written addendum. Any additional addendum issued by the Navajo Nation becomes part of the RFQ.

6. Acknowledgement

Firms shall acknowledge receipt of this Addendum No. 1 in their SOQ cover letter. Failure to acknowledge this Addendum may result in the SOQ being determined nonresponsive if the omission is material under applicable Navajo Nation procurement requirements.

Suggested cover-letter acknowledgement:

> The Firm acknowledges receipt of Addendum No. 1, dated September 23, 2026, to RFQ No. **26-09-4303DB**.

7. Confirmation

Except as specifically modified by this Addendum No. 1, all provisions of the RFQ remain in full force and effect.

Issued by:

NAVAJO DIVISION OF TRANSPORTATION

Navajo Department of Airport Management

By: Michael M. Tsosie

Michael M. Tsosie, Program Manager

Date: September 23, 2026

END OF ADDENDUM NO. 1

Navajo Division of Transportation

REQUEST FOR QUALIFICATIONS

RFQ NO. 26-09-4303DB

ON-CALL AIRPORT ENGINEERING, ENVIRONMENTAL, CONSTRUCTION ADMINISTRATION, AND RELATED PROFESSIONAL SERVICES

For the Navajo Nation Department of Airport Management

Submission Location/Method: *See Section 7.2 & 7.3*

Procurement Contact: Michael M. Tsosie, Program Manager 505-481-2819

RFQ Info &	**Dates**
Publicly issue/post RFQ	Friday, September 18, 2026
Written questions due	Friday, September 25, 12:00 p.m. MDT
Issue consolidated addendum, if needed	Monday, September 28, 2026, 12:00 p.m. MDT
SOQs due	Tuesday, September 29, 2026 12:00 p.m. MDT
Opening	September 30 through October 2, 2026, Time: TBD
Review and scoring	September 30 through October 2, 2026
Reference checks/interviews, if used	September 30 through October 2, 2026

RFQ Info &	Dates
Selection memo and negotiations with highest-ranked firm	October 5 through October 9, 2026

1. Notice and Purpose

The Navajo Nation ("Nation"), through the Navajo Division of Transportation-Department of Airports Management, invites qualified engineering, environmental, surveying, construction administration, construction observation, inspection, and related professional-services firms ("Consultant" or "Firm") to submit Statements of Qualifications ("SOQs") for an on-call professional-services agreement supporting the Navajo Nation Department of Airport Management.

The selected Consultant may be requested to perform engineering and related professional services for airports owned, operated, administered, or supported by the Navajo Nation, including the Navajo Nation's five airports and other airport-related facilities or aviation needs authorized by the Nation. Services will be authorized only through written, individually approved task orders.

This RFQ is intended to establish a qualifications-based selection process for airport engineering and related professional services. The Nation will evaluate, rank, and select Firms based on qualifications. Price, fee, hourly rates, overhead, multipliers, profit, and other cost information will not be evaluated or scored in selecting the most qualified Firm.

Following selection of the highest-ranked Firm, the Nation will negotiate a fair and reasonable agreement, including compensation terms and task-order procedures. If the Nation and the highest-ranked Firm cannot negotiate an agreement that is fair and reasonable and otherwise acceptable to the Nation, the Nation may formally end negotiations and begin negotiations with the next most highly qualified Firm.

The Nation reserves the right to reject any or all SOQs; waive minor irregularities or informalities; cancel, amend, suspend, or reissue this RFQ; request clarifications; conduct interviews; negotiate with the highest-ranked Firm; and take any other action permitted by applicable law and procurement requirements. Issuance of this RFQ does not obligate the Nation to award a contract, issue a task order, expend funds, or reimburse any Firm for costs incurred in preparing an SOQ.

2. Procurement Authority and Compliance

This procurement and any resulting agreement shall be administered in accordance with all applicable requirements, including:

- Navajo Nation laws, resolutions, procurement requirements, rules, regulations, policies, procedures, forms, and contracting requirements in effect on the date of RFQ issuance and as applicable during contract administration.

- Navajo Nation requirements concerning contracting eligibility, debarment and suspension, business and tax compliance, preference requirements, ethics, conflicts of interest, records, insurance, sovereign immunity, and approval authority.
- Applicable federal laws, regulations, executive orders, FAA grant assurances, FAA Airport Improvement Program ("AIP") requirements, and federal funding-source requirements.
- 49 U.S.C. § 47107(a)(17), requiring qualifications-based selection for airport architectural, engineering, and planning consultant services associated with AIP-assisted work.
- FAA Advisory Circular 150/5100-14, *Architectural, Engineering, and Planning Consultant Services for Airport Grant Projects*, as amended or superseded.
- 2 CFR Part 200 and other applicable federal procurement and contract requirements when federal assistance applies.
- FAA Required Contract Provisions for AIP-assisted contracts, current on the date of award or otherwise applicable to the specific agreement, task order, funding source, dollar threshold, and work type.
- Applicable laws and professional licensing requirements of the jurisdiction in which a task order is performed, including Arizona, New Mexico, and other applicable jurisdictions.

Where more than one requirement applies, the Consultant shall comply with the most stringent applicable requirement unless otherwise directed in writing by the Nation or prohibited by law.

The final procurement and contract package shall be subject to all required Navajo Nation review, approval, and execution procedures.

3. Airport Program and Anticipated Engineering Needs

The Navajo Nation Department of Airport Management manages and supports a system of Navajo Nation airports. Current capital improvement planning information indicates anticipated near-term and future engineering, environmental, design, construction administration, inspection, grant-support, and related airport-development work involving pavement rehabilitation and reconstruction; runway, taxiway, and apron improvements; airfield lighting and visual guidance systems; PAPI replacement; AWOS-related facilities; security fencing and gates; snow-removal equipment facilities; runway safety area grading and drainage; fuel-farm relocation; and related airport development needs.

Examples of anticipated engineering work include, but are not limited to:

- Shiprock Airstrip (5V5): apron reconstruction; access-road work; AWOS III design and construction support; perimeter fence, automatic gate, and security-camera work; runway safety-area grading and drainage.
- Crownpoint Airport (0E8): runway rehabilitation; apron reconstruction; access-road reconstruction; AWOS III construction support; perimeter security fence, gate, and security-camera work; snow-removal equipment building work; runway safety-area grading and drainage.

- Chinle Municipal Airport (E91): apron reconstruction; PAPI replacement; runway crack seal, seal coat, and marking work.
- Tuba City Airport (T03): Runway 15/33 reconstruction; AWOS III facilities; runway edge lighting, signs, beacon, windcone, segmented circle, electrical vault, and PAPI work.
- Window Rock Airport (RQE): Runway 3/21 rehabilitation and reconstruction; emergency PAPI replacement; connector taxiway and apron reconstruction; taxiway reconstruction; fuel-farm relocation.

The above list is provided solely to illustrate anticipated engineering program needs. It is not a commitment to undertake any project, make any award, issue any task order, use a particular funding source, or expend a stated amount. Actual work will depend on Nation priorities, funding availability, grant approvals, environmental clearance, procurement authority, governing-body approvals, airport needs, and written task-order authorization.

Planning services are expressly excluded from this RFQ. This RFQ does not solicit airport master planning, Airport Layout Plan updates, ALP narratives, airport business planning, land-use planning, airport economic studies, airport property mapping, or other airport planning services. The Nation may procure planning services separately under a separate RFQ or other lawful procurement process, as appropriate.

4. Scope of Anticipated Engineering Services

The selected Consultant shall be capable of furnishing, directly or through Nation-approved subconsultants, professional airport engineering and related services as requested by the Nation. Services may include the following:

4.1 Engineering Programming, Project Development, and Grant Support

- Engineering support for airport capital improvement programming, project definition, preliminary engineering, cost estimating, scheduling, phasing, and grant-supported project development.
- FAA AIP, state aviation, tribal, and other grant-program engineering coordination and support.
- Engineering support for grant applications, project scopes, budgets, reimbursement documentation, grant administration, reporting, amendments, project closeout, and related technical documentation.
- Pavement management, pavement-condition assessments, asset inventories, lifecycle planning, and engineering evaluations.
- Engineering exhibits, obstruction analysis, airspace coordination, aeronautical survey coordination, and technical support associated with FAA project development and approval.

4.2 Environmental, Surveying, and Technical Engineering Studies

- Environmental screening and engineering support for categorical exclusion documentation, environmental assessments, permitting support, agency coordination, mitigation design, and project implementation.

- Cultural-resource, biological-resource, wetlands, water-quality, hazardous-materials, and other specialized studies and coordination necessary to support engineering design and construction, as applicable.
- Boundary, topographic, right-of-way, utility, construction, and as-built surveying.
- Aeronautical surveys, obstruction surveys, airspace analysis, and related FAA coordination.
- Geotechnical investigation, materials testing coordination, pavement evaluation, drainage studies, hydrologic and hydraulic analysis, utility investigations, and other engineering technical studies.

4.3 Airport Engineering Design and Development

- Runway, taxiway, apron, tie-down, aircraft parking, pavement rehabilitation, pavement reconstruction, drainage, grading, runway safety area, and object-free-area engineering improvements.
- Airfield electrical systems, runway and taxiway lighting, signs, guidance signs, windcones, segmented circles, beacons, electrical vaults, PAPI systems, standby power, and associated controls.
- AWOS/ASOS-related site, utility, communications, equipment-building, and infrastructure work, subject to applicable FAA and system-owner requirements.
- Perimeter fencing, gates, access control, security cameras, airport access roads, parking, site circulation, signage, and landside engineering improvements.
- Hangar, maintenance, snow-removal equipment, ARFF, storage, utility, and other airport-support building and facility engineering work.
- Fuel-farm engineering assessment, relocation, repair, replacement, utility coordination, environmental compliance, safety planning, and related civil/site work.
- Engineering reports, specifications, cost estimates, bidding documents, construction documents, and bid-phase services.

4.4 Construction-Phase and Closeout Services

- Bidding assistance, pre-bid meetings, addenda, bid evaluation support, award recommendations, and contract-document support.
- Construction administration, resident project representation, construction observation, inspection, progress meetings, pay-application review, testing coordination, document control, and change-management support.
- FAA and funding-agency construction compliance support, sponsor certifications, project documentation, final inspections, punch-list support, project closeout, record drawings, and grant closeout support.
- Emergency, urgent, or time-sensitive engineering support when specifically requested and authorized in writing by the Nation.

5. On-Call Agreement and Task Orders

The Nation anticipates negotiating and executing one on-call professional-services agreement with the highest-ranked Firm, subject to all required approvals. The Nation may elect not to make an award, may make another procurement for similar services, and may procure services through other lawful methods when determined to be in the Nation's best interest.

The anticipated agreement term is **October 1,2026-September 30, 2031**, with any renewal or extension subject to applicable law, funding, performance, written agreement, and required approvals. **No aggregate not-to-exceed amount is stated in this RFQ.** The Nation will authorize and fund services only through individually executed task orders. No minimum amount of work, minimum payment, or guaranteed number of task orders is promised.

No work may begin unless and until the Nation issues a written task order and any required notice to proceed. Each task order will identify, at a minimum:

- The airport, facility, project name, and project number, if assigned.
- A detailed scope of engineering services and required deliverables.
- The performance schedule, milestones, and completion date.
- Applicable funding source(s), grant requirements, and special conditions.
- The Consultant's assigned key personnel and approved subconsultants.
- Compensation method, negotiated amount, and task-order not-to-exceed ceiling.
- Direct expenses, reimbursable expenses, and any cost limitations.
- Required approvals, authorizations, and notice-to-proceed requirements.

Task orders may use a negotiated lump-sum amount when the scope is sufficiently defined, or another lawful and appropriate compensation method when justified and approved. The Nation will document the basis for determining that negotiated compensation is fair and reasonable. Cost-plus-a-percentage-of-cost compensation is prohibited for federally assisted work and shall not be used where prohibited by applicable law or funding requirements.

6. Qualifications-Based Selection

6.1 No Price Information for Evaluation

This is a qualifications-based RFQ. Firms shall not submit proposed fees, hourly rates, multipliers, overhead rates, profit, unit prices, cost proposals, or other price information with their SOQ unless specifically requested in writing by the Nation after qualifications ranking for negotiation purposes.

The Nation will not use price as a selection factor. Compensation will be negotiated only with the highest-ranked Firm after the Nation has completed qualifications evaluation and made its selection.

6.2 Evaluation Criteria

The Nation will evaluate responsive SOQs using the following criteria and relative weights:

Criterion	Weight
Demonstrated experience with comparable airport engineering, aviation, FAA-funded, tribal, rural, and/or remote-area projects	25%
Qualifications, aviation engineering experience, licensure, availability, and organization of proposed key personnel	20%
Technical approach and demonstrated understanding of the Navajo Nation Airport Program, task-order delivery, grant compliance, safety, phasing, and project controls	20%
Capacity, responsiveness, quality-control procedures, construction-phase capability, and ability to meet schedules and support multiple concurrent assignments	15%
Past performance, quality of work, cost control, schedule performance, references, and client satisfaction	10%
DBE/small-business participation approach and ability to comply with applicable inclusion and reporting requirements	5%
Familiarity with Navajo Nation, tribal-government, Arizona/New Mexico, regional, and remote-project conditions	5%
Total	100%

The Nation may determine a Firm nonresponsive if it fails to provide required information or certifications, is suspended or debarred, has a material conflict of interest, lacks required professional authority, fails to meet mandatory requirements, or otherwise does not demonstrate responsibility and eligibility.

6.3 Evaluation Process

The Nation may use a selection committee composed of Nation personnel and other qualified representatives designated by the Nation. Before evaluation, committee members shall disclose actual or potential conflicts of interest and comply with applicable ethics and procurement requirements.

The Nation may:

- Review SOQs for responsiveness and responsibility.
- Evaluate and score SOQs using the stated criteria.
- Check references and verify information.
- Request written clarifications that do not materially alter an SOQ.
- Create a shortlist of the highest-ranked Firms.
- Conduct interviews or presentations using a pre-established scoring rubric.
- Select the most qualified Firm based on the solicitation criteria and the complete evaluation record.

If interviews are conducted, the Nation will issue interview instructions to shortlisted Firms. Interviews will not introduce price as a selection criterion.

6.4 Negotiation and Award

After selecting the highest-ranked Firm, the Nation will negotiate the scope, contract terms, rate schedule, and fair-and-reasonable compensation. Negotiations may include review of the Firm's proposed direct labor rates, overhead, indirect costs, fee, reimbursable expenses, subconsultant costs, and task-order pricing methodology.

If negotiations with the highest-ranked Firm are unsuccessful, the Nation may formally terminate negotiations and begin negotiations with the next highest-ranked Firm. Award is contingent upon availability of funds, required Nation approvals, successful negotiation, compliance review, and execution of a written agreement by authorized representatives.

7. Statement of Qualifications Requirements

Firms shall submit one complete SOQ organized in the order listed below. The SOQ should not exceed **30 single-sided pages**, excluding the cover letter, table of contents, tabs, required forms, certifications, resumes, and appendices. The Nation may reject, or may elect not to evaluate, excess materials.

7.1 Required SOQ Contents

1. **Cover Letter** signed by an individual authorized to bind the Firm, identifying the Firm's legal name, principal office, primary contact, telephone number, email address, and acknowledgement of all RFQ addenda.
2. **Firm Profile and Legal Status**, including legal entity type, ownership, office location(s) that will perform the work, years in business, and relevant licenses/registrations.
3. **Team Organization**, including the prime consultant, proposed subconsultants, discipline leads, office locations, and a clear organizational chart.
4. **Understanding and Technical Approach**, addressing on-call task-order delivery; multi-airport engineering support; FAA grant and compliance needs; quality assurance/quality control; schedule management; stakeholder coordination; construction-phase services; and emergency responsiveness.
5. **Relevant Firm Experience**, including descriptions of three to five comparable airport engineering projects completed or substantially completed within the last seven years. For each project, include client, location, airport identifier if applicable, project description, funding source, total project cost, services performed, key staff involved, completion date, and client contact information.
6. **Key Personnel Qualifications**, including resumes, professional registrations, proposed role, airport/aviation engineering experience, experience with FAA-funded work, office location, and anticipated availability.
7. **Capacity and Workload**, identifying current commitments, available resources, anticipated response times, field presence capability, and ability to perform multiple task orders.

8. **Past Performance and References**, including at least three client references for comparable airport engineering services.
9. **DBE/Small Business and Navajo Nation Participation Approach**, as applicable. Identify certified DBE firms proposed for participation, if any, and describe the Firm's approach to meeting project-specific goals, good-faith efforts, reporting, and inclusion requirements.
10. **Conflict-of-Interest Disclosure**, identifying any actual, apparent, or potential organizational, financial, or personal conflict relevant to the contemplated work. The Firm shall disclose if it assisted in preparing this RFQ, the scope of work, or related procurement documents.
11. **Required Forms and Certifications**, including all Nation-required forms, debarment/suspension and contracting-eligibility forms, non-collusion certification, tax/business compliance documents, and other documents listed in this RFQ or issued by addendum.
12. **Insurance Capability Statement**, confirming the Firm's ability to meet the insurance requirements established in the final agreement.
13. **SAM.gov Eligibility.** The Firm shall certify that it is in good standing and is not suspended, debarred, excluded, or otherwise ineligible to participate in federally assisted transactions. Before award of any federally funded agreement, the Navajo Nation will verify the apparent successful Firm's eligibility through SAM.gov Exclusions. The Firm shall maintain an active SAM.gov registration when required by applicable federal funding requirements.

7.2 Submission Instructions

7.2 Electronic Submission Instructions

Firms shall submit one complete Statement of Qualifications ("SOQ") electronically by email or hand delivered. The SOQ must be received no later than **12:00 PM Mountain Time** on **09/29/2026**. Late submissions will be rejected and will not be evaluated.

Submit the SOQ to:

Email: mtsosie@navajodot.org

Subject Line: RFQ No. **26-09-4303DB** – On-Call Airport Engineering Services – **FIRM NAME**

The SOQ shall be submitted as **one complete, searchable PDF file**. The PDF shall include the cover letter, qualifications narrative, resumes, required forms, certifications, and appendices.

The electronic file shall be named:

RFQ: 26-09-4303DB On-Call Airport Engineering Services – FIRM NAME

The total size of the email and all attachments shall not exceed **25 MB**. Firms are responsible for ensuring that their submission can be received by the Nation's email system. If a submission exceeds the 25 MB file-size limit, the Firm may send multiple sequential emails. Each email shall clearly identify the Firm and be labeled "Email [X] of [X]." All emails and attachments must be received by the submission deadline.

The time shown in the Nation's email system will govern whether a submission is timely. A Firm's email transmission time "sent" time, delivery receipt, or failure to receive an automated response does not establish timely receipt by the Nation.

Firms should request an email delivery or read receipt and retain proof of transmission. The Nation may acknowledge receipt as a courtesy; however, the Firm remains solely responsible for timely and complete delivery of its SOQ.

The Nation is not responsible for email delays, bounced emails, spam filtering, file corruption, incomplete attachments, files blocked by network-security controls, or other transmission failures. Firms are encouraged to submit their SOQ at least one business day before the deadline.

Files must be free of password protection, encryption, viruses, malware, and restrictions that prevent the Nation from opening, printing, copying, storing, or distributing the submission for procurement evaluation purposes. The Nation may reject or determine nonresponsive any SOQ that cannot be opened, is incomplete, contains unreadable files, or is received after the deadline.

Questions concerning this RFQ must be submitted separately in writing to the Procurement Contact no later than the stated question deadline. Oral interpretations are not binding. Any written addendum issued by the Nation becomes part of this RFQ, and Firms are responsible for acknowledging all addenda in their SOQ cover letter.

7.3 Hand Delivered Locations (no later than 12:00 PM Mountain Time on 09/29/2026. Late submissions will be rejected and will not be evaluated.)

Two delivery options:

Location 1 — Window Rock Airport
Navajo Department of Airport Management
Window Rock Airport
W008-068 Beacon Road
Window Rock, Arizona 86515

Location 2 — Navajo Division of Transportation
Navajo Division of Transportation
#16 Old Coalmine Road
Mentmore, New Mexico 87319

For either physical location, the outside of the package must state:

RFQ NO. 26-09-4303DB

ON-CALL AIRPORT ENGINEERING SERVICES

ATTENTION: MICHAEL M. TSOSIE, PROGRAM MANAGER DEPT. OF AIRPORTS MANAGEMENT

DO NOT OPEN UNTIL September 30, 2026, after 8:00 A.M. MST (Must contain 5 copies of SOQ if hand delivered)

8. Minimum Qualifications and Mandatory Conditions

At minimum, the selected Firm shall:

- Be legally organized and authorized to conduct business and provide professional engineering and related services in the applicable jurisdiction(s).
- Maintain all required professional registrations, certifications, licenses, and approvals throughout the agreement term.
- Demonstrate capability to provide airport engineering, environmental, construction administration, and related services for the scope anticipated under this RFQ.
- Demonstrate experience with FAA airport development requirements and applicable federal grant requirements.
- Maintain professional liability/errors-and-omissions insurance and other coverages at levels required by the final agreement.
- Comply with all applicable Nation, federal, state, and local requirements.
- Be eligible for contract award and not be suspended, debarred, or otherwise excluded from participation in federally funded or Nation-funded procurements.
- Disclose actual, apparent, and potential conflicts of interest and comply with the final agreement's conflict provisions.
- Agree that the Nation may approve or reject proposed subconsultants and require replacement of personnel whose performance is unsatisfactory or whose continued assignment is not in the Nation's interest.

9. Contract Requirements

The selected Firm will be required to execute the Nation's approved professional services agreement and comply with all incorporated exhibits, including as applicable:

- Scope of work and individual task orders.
- Navajo Nation supplemental general conditions or other Nation-approved professional-services conditions.
- Negotiated billing-rate schedule and/or other approved compensation exhibit.
- FAA-required contract provisions applicable to the agreement or individual task orders.

- Nation-required forms, certifications, and compliance documents.
- Notices to proceed, written amendments, change orders, work directives, and other authorized contract documents.

The final agreement is expected to address the following matters, among others:

- Task-order authorization, scope control, and compensation approval.
- Ownership and use rights for deliverables, including reports, plans, specifications, CAD files, GIS data, surveys, models, and records.
- Quality assurance/quality control and professional standard of care.
- Record retention, audit, inspection, and access rights for the Nation, FAA, other funding agencies, and authorized oversight entities.
- Subconsultant approval and responsibility for subconsultant performance.
- Key-personnel commitments and substitution approval.
- Insurance, indemnification, and risk allocation, subject to Nation legal requirements.
- Confidentiality, public records, data security, and protection of sensitive information as applicable.
- Safety, airport access, badging, security, coordination with airport operations, and compliance with airfield operational requirements.
- Termination for convenience, default, funding unavailability, grant denial, nonperformance, or failure to comply with applicable requirements.
- Navajo Nation sovereign immunity, governing law, jurisdiction, venue, and dispute provisions, as approved by the Nation.

Nothing in this RFQ or a resulting agreement shall be construed as a waiver of the Navajo Nation's sovereign immunity.

10. Federal Funding Conditions

When a task order is funded in whole or in part with federal funds, the selected Firm shall comply with all requirements applicable to that task order. The Nation may incorporate, amend, or require execution of additional federal provisions as necessary to comply with current FAA, AIP, federal agency, grant-agreement, and funding-source requirements.

The final agreement and/or task orders may include requirements concerning, as applicable:

- Access to records, reports, drawings, and stamped or certified documents.
- Federal labor standards and wage requirements when triggered, including Davis-Bacon requirements.
- Civil rights, nondiscrimination, Title VI, and disability-access requirements.
- Disadvantaged Business Enterprise requirements.

- Debarment and suspension.
- Lobbying restrictions and certifications.
- Clean Air Act, Federal Water Pollution Control Act, energy conservation, and environmental requirements.
- Procurement of recovered materials.
- Domestic preference and Buy America/Build America requirements where applicable.
- Prohibitions on certain telecommunications and video-surveillance services or equipment where applicable.
- Contract work hours, safety standards, and labor-related provisions where applicable.
- Federal funding accountability and transparency requirements where applicable.

The Nation will determine which clauses apply based on the funding source, dollar threshold, contract type, work type, and current legal requirements.

Form **W-9**
(Rev. March 2024)
Department of the Treasury
Internal Revenue Service

Request for Taxpayer Identification Number and Certification

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

Give form to the requester. Do not send to the IRS.

Before you begin. For guidance related to the purpose of Form W-9, see *Purpose of Form*, below.

Print or type. See *Specific Instructions* on page 3.

1 Name of entity/individual. An entry is required. (For a sole proprietor or disregarded entity, enter the owner's name on line 1, and enter the business/disregarded entity's name on line 2.)

2 Business name/disregarded entity name, if different from above.

3a Check the appropriate box for federal tax classification of the entity/individual whose name is entered on line 1. Check only one of the following seven boxes.

☐ Individual/sole proprietor ☐ C corporation ☐ S corporation ☐ Partnership ☐ Trust/estate

☐ LLC. Enter the tax classification (C = C corporation, S = S corporation, P = Partnership) . . . . ____

Note: Check the "LLC" box above and, in the entry space, enter the appropriate code (C, S, or P) for the tax classification of the LLC, unless it is a disregarded entity. A disregarded entity should instead check the appropriate box for the tax classification of its owner.

☐ Other (see instructions) ____

3b If on line 3a you checked "Partnership" or "Trust/estate," or checked "LLC" and entered "P" as its tax classification, and you are providing this form to a partnership, trust, or estate in which you have an ownership interest, check this box if you have any foreign partners, owners, or beneficiaries. See instructions . . . . ☐

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):

Exempt payee code (if any) ____

Exemption from Foreign Account Tax Compliance Act (FATCA) reporting code (if any) ____

(Applies to accounts maintained outside the United States.)

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. See also *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

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*.

What's New

Line 3a has been modified to clarify how a disregarded entity completes this line. An LLC that is a disregarded entity should check the appropriate box for the tax classification of its owner. Otherwise, it should check the "LLC" box and enter its appropriate tax classification.

New line 3b has been added to this form. A flow-through entity is required to complete this line to indicate that it has direct or indirect foreign partners, owners, or beneficiaries when it provides the Form W-9 to another flow-through entity in which it has an ownership interest. This change is intended to provide a flow-through entity with information regarding the status of its indirect foreign partners, owners, or beneficiaries, so that it can satisfy any applicable reporting requirements. For example, a partnership that has any indirect foreign partners may be required to complete Schedules K-2 and K-3. See the Partnership Instructions for Schedules K-2 and K-3 (Form 1065).

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS is giving you this form because they 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-NEC (nonemployee compensation).
- 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), and 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.

Caution: If you don't 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; and

4. Certify to your non-foreign status for purposes of withholding under chapter 3 or 4 of the Code (if applicable); and

5. 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).

Establishing U.S. status for purposes of chapter 3 and chapter 4 withholding. Payments made to foreign persons, including certain distributions, allocations of income, or transfers of sales proceeds, may be subject to withholding under chapter 3 or chapter 4 of the Code (sections 1441–1474). Under those rules, if a Form W-9 or other certification of non-foreign status has not been received, a withholding agent, transferee, or partnership (payor) generally applies presumption rules that may require the payor to withhold applicable tax from the recipient, owner, transferor, or partner (payee). See Pub. 515, Withholding of Tax on Nonresident Aliens and Foreign Entities.

The following persons must provide Form W-9 to the payor for purposes of establishing its non-foreign status.

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

See Pub. 515 for more information on providing a Form W-9 or a certification of non-foreign status to avoid withholding.

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 (under Regulations section 1.1441-1(b)(2)(iv) or other applicable section for chapter 3 or 4 purposes), do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515). If you are a qualified foreign pension fund under Regulations section 1.897(l)-1(d), or a partnership that is wholly owned by qualified foreign pension funds, that is treated as a non-foreign person for purposes of section 1445 withholding, do not use Form W-9. Instead, use Form W-8EXP (or other certification of non-foreign status).

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 their 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 their 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, but are not limited to, 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, as described in item 4 under "*By signing the filled-out form*" 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.

See also *Establishing U.S. status for purposes of chapter 3 and chapter 4 withholding*, earlier.

What Is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all U.S. account holders that are specified U.S. 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 are no longer 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.

• **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 for 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 you filed with your application.

• **Sole proprietor.** Enter your individual name as shown on your Form 1040 on line 1. Enter your business, trade, or "doing business as" (DBA) name on line 2.

• **Partnership, C corporation, S corporation, or LLC, other than a disregarded entity.** 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.

• **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. Enter any business, trade, or DBA name on line 2.

• **Disregarded entity.** In general, a business entity that has a single owner, including an LLC, and is not a corporation, is disregarded as an entity separate from its owner (a disregarded entity). See Regulations section 301.7701-2(c)(2). A disregarded entity should check the appropriate box for the tax classification of its owner. Enter the owner's name on line 1. The name of the owner 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. 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, enter it on line 2.

Line 3a

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

IF the entity/individual on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation.
• Individual or • Sole proprietorship	Individual/sole proprietor.
• LLC classified as a partnership for U.S. federal tax purposes or • LLC that has filed Form 8832 or 2553 electing to be taxed as a corporation	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 3b

Check this box if you are a partnership (including an LLC classified as a partnership for U.S. federal tax purposes), trust, or estate that has any foreign partners, owners, or beneficiaries, and you are providing this form to a partnership, trust, or estate, in which you have an ownership interest. You must check the box on line 3b if you receive a Form W-8 (or documentary evidence) from any partner, owner, or beneficiary establishing foreign status or if you receive a Form W-9 from any partner, owner, or beneficiary that has checked the box on line 3b.

Note: A partnership that provides a Form W-9 and checks box 3b may be required to complete Schedules K-2 and K-3 (Form 1065). For more information, see the Partnership Instructions for Schedules K-2 and K-3 (Form 1065).

If you are required to complete line 3b but fail to do so, you may not receive the information necessary to file a correct information return with the IRS or furnish a correct payee statement to your partners or beneficiaries. See, for example, sections 6698, 6722, and 6724 for penalties that may apply.

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 on 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 territory, 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 territory.

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 as defined under section 581.

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 Information, 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) entered 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 territory, 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, enter "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 ITIN. Enter it in the entry space for the Social security number. 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). 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 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/EIN*. 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 Form SS-4 mailed to you within 15 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and enter "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, you will generally 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. See also *Establishing U.S. status for purposes of chapter 3 and chapter 4 withholding,* earlier, for when you may instead be subject to withholding under chapter 3 or 4 of the Code.

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

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 877-777-4778 or TTY/TDD 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 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.

Go to *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 territories for use in administering their laws. The information may also 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, payors must generally withhold a percentage of taxable interest, dividends, and certain other payments to a payee who does not give a TIN to the payor. Certain penalties may also apply for providing false or fraudulent information.

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 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
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 Form 1041 or under the Optional Filing Method 2, requiring Form 1099 (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 on line 1, and enter your business or DBA name, if any, on line 2. 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.)

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

**For more information on optional filing methods for grantor trusts, see the Instructions for Form 1041.

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 return 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 a questionable credit report, contact the IRS Identity Theft Hotline at 800-908-4490 or submit Form 14039.

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

NAVAJO NATION CERTIFICATION
Regarding Debarment, Suspension, and Contracting Eligibility

Consultant/Project Name ______ Project/Work Location ______

1. Applicant acknowledges, in accordance with the Navajo Nation Procurement Act, 12 N.N.C. §§ 301 *et seq.*, as amended from time to time, to the best of its knowledge, that Applicant, in either its present form or in any other identifiable capacity, has not:
   a. been convicted in any jurisdiction of the commission of a criminal offense incident to obtaining, or attempting to obtain, a public or private contract or subcontract, or in the performance of such contract or subcontract;
   b. been convicted in any jurisdiction of embezzlement, theft, forgery, bribery, falsification or destruction of records, receiving stolen property, or any other offense indicating a lack of business integrity or business honesty, which currently, seriously, and directly affects responsibility as a Navajo Nation contractor;
   c. been convicted in any jurisdiction under any antitrust statute arising out of the submission of offers;
   d. violated contract provisions, such as having:
      i. deliberately failed, without good cause, to perform in accordance with the contract specifications, purchase descriptions, or within the time limit provided in the contract; or
      ii. a recent record of failure to perform, or of unsatisfactory performance, with the terms of any contract;
   e. engaged in any other cause so serious and compelling as to affect Applicant's responsibility as a Navajo Nation Contractor, including debarment or suspension by the Navajo Nation or another government.
2. Applicant certifies that the individual named below is authorized to represent Applicant for purposes of the declarations in this certification, and that all such declarations are made on behalf of Applicant and all of its owners, partners, officers, members, employees, officials, agents, or parties-in-interest;
3. Applicant acknowledges that, if the Navajo Nation determines that this executed Certification is untrue or not wholly accurate, the Navajo Nation shall have grounds to terminate the procurement award or executed contract and pursue other legal remedies, at the Navajo Nation's discretion.
4. Applicant certifies that, to the best of its knowledge, 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. §§ 1501-16 and 5 N.N.C. §§ 201-380.
5. Applicant 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	______ Printed name individual signing on Applicant's behalf
______ Applicant Address	______ Title of individual signing on Applicant's behalf
______ Applicant Address	______ Signature of individual signing on Applicant's behalf
______ Applicant Address	______ Date