

Arizona State Match Advantage for Rural Transportation (“AZ SMART”) Fund

Program Guidelines and Application Instructions

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Arizona State Match Advantage for Rural Transportation (“AZ SMART”) Fund

Program Guidelines and Application Instructions

Background

The AZ SMART Fund¹ was established by the Arizona Legislature in 2022² to help eligible cities, towns, counties and the Arizona Department of Transportation (“ADOT”) to compete more effectively at the national level for the numerous Federal Grants established in the 2021 Infrastructure Investment and Jobs Act (“IIJA”). AZ SMART Fund awards are limited to *federal discretionary grants*, which are awarded at the discretion of the federal agency and are not funded or distributed by formula or allocation. The Federal Grant must be for surface transportation purposes, which for the purposes of the AZ SMART Fund is defined as roads/bridges, rail, and transit.

The AZ SMART Fund is administered by ADOT, and all awards must be approved by the State Transportation Board (“STB” or “the Board”). The AZ SMART Fund is funded at \$50 million for state fiscal year 2023. These funds are exempt from lapsing. The monies are allocated to certain categories of Eligible Applicants as follows:

- 20%, or \$10 million, for counties with a population of 100,000 persons or more;
- 20%, or \$10 million, for counties with a population of fewer than 100,000 persons;
- 20%, or \$10 million, for cities and towns with a population of 10,000 persons or more;
- 20%, or \$10 million, for cities and towns with a population of fewer than 10,000 persons;
- and
- 20%, or \$10 million, for ADOT.

The AZ SMART Fund program became effective on September 24, 2022. STB Board Policy #45 related to the AZ SMART Fund program was approved on October 21, 2022. This Policy is available on the AZ SMART Fund and STB websites.

Applications to the AZ SMART Fund must first be approved by the Applicant’s COG/MPO. Each COG/MPO has its own process to review and approve applications for the program.

Pursuant to the enabling legislation, applications cannot be considered until after the release of the applicable Notice of Funding Opportunity or Notice of Funding Availability (“NOFO/NOFA”). ADOT may establish a deadline for applications for Match for each Federal Grant.

*Arizona State Transportation
Board Policy #45, Sec. 3:*

It is the policy of the Board to award AZ SMART Funds during the term of the federal Infrastructure Investment and Jobs Act (IIJA) to **well-developed applications that maximize the State’s competitiveness** for each federal discretionary grant.

¹ The AZ SMART Fund grant program is not the same as the federal program using the “SMART” acronym, the Strengthening Mobility and Revolutionizing Transportation grant program. However, the federal SMART grant program is a federal discretionary grant which provides funding for surface transportation projects, and therefore is eligible under the AZ SMART Fund.

² HB 2872, Laws 2022, Chapter 322, Section 3.

Eligible Applicants for the AZ SMART Fund

Most Arizona cities, towns and counties and ADOT are eligible for AZ SMART Funding, with the following exceptions:

- A county with a population of more than 1,000,000 persons;
- A city or town entirely located in an urbanized area of a county with a population of more than 1,000,000 persons;
- ADOT may not use AZ SMART Fund monies for projects located in an urbanized area of a county with a population of more than 1,000,000 persons.

*Arizona State
Transportation Board Policy
#45, Sec. 2:*

It is the policy of the Board to encourage all eligible applicants to utilize the benefits of the AZ SMART Fund Program.

While not an Eligible Applicant for the program, a tribal nation can partner with an eligible county to submit a Project for which the County will be the Applicant. A current list of Eligible Applicants may be found on the AZ SMART Fund website. Eligibility may change in the future due to updates to urbanized areas by the US Census Bureau.³

Eligible Uses of the AZ SMART Fund

Applicants may request AZ SMART Funds for any of the Eligible Uses below for a specific project and a specific Federal Grant:

- Reimbursement of up to 50% of the eligible costs associated with Grant Development and Submission (“GDS”) of an application for a Federal Grant which is the subject of a current NOFO/NOFA. This use is limited to counties with a population of less than 100,000 and cities and towns with a population of less than 10,000.
- Match for a Federal Grant which is the subject of a current NOFO/NOFA. Depending on the Federal Grant and the entity administering the Project, matching funds may be paid directly from the AZ SMART Fund by ADOT for Projects it administers or may be reimbursed to the Applicant if it is a Certification Acceptance (“CA”) agency or a direct recipient of the Federal Grant.

NOTE: Match on federal aid highway program formula funds such as Surface Transportation Block Grant Program (“STBGP”), Highway Safety Improvement Program (“HSIP”), Off-system Bridge or other formula funds programmed by COGs/MPOs or ADOT is not an Eligible Use of the AZ SMART Fund.

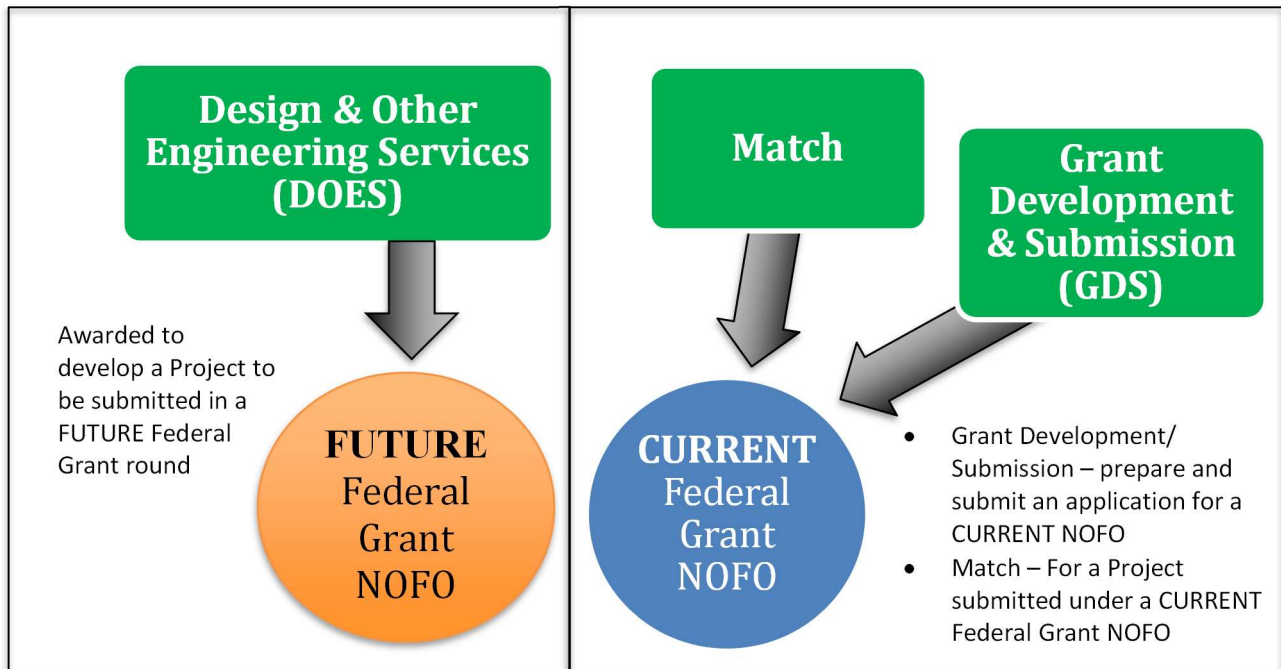
- Reimbursement of Design and Other Engineering Services (“DOES”) expenditures that meet federal standards for projects eligible for the Federal Grant selected in the AZ SMART Fund application. For the purposes of the AZ SMART Fund, DOES includes preliminary engineering through final design related to a road, bridge, rail or transit infrastructure construction project. In submitting the application, the Applicant is committing to developing the Project in a timely manner and to submitting it for the selected Federal Grant prior to the passage of a new long-term highway program authorization that

³ Eligibility is based in part on “urbanized areas as defined in the most recent decennial Census certified by the United States Bureau of the Census.” See HB 2872, Laws 2022, Chapter 322 for further information.

succeeds the IIJA.⁴

The graphic below depicts the general relationship between the Eligible Uses for the AZ SMART Fund Program and a current or future Federal Grant NOFO/NOFA; however, other approaches may also apply.

- DOES awards will typically fund the design of a Project to be submitted in response to a FUTURE NOFO/NOFA.
- Awards for Match and GDS will generally be to prepare, submit and support a Federal Grant application in response to a CURRENT NOFO/NOFA.



Applicants may request funding for more than one Eligible Use in a single application. However, the Eligible Uses must be related to the same Project and the same Federal Grant. Applicants may apply for AZ SMART Funds for more than one project and/or Federal Grant subject to approval from the respective COG/MPO. Each Project and/or Federal Grant requires the completion and submission of a separate AZ SMART Fund application.

NOTES:

- Applicants will be responsible for all costs exceeding the amount awarded by the AZ SMART Fund and a Federal Grant. If a Project does not yet have a current and comprehensive cost estimate on a Year of Expenditure ("YOE") basis, Applicants are encouraged to apply for DOES first to develop this information for use in a future AZ SMART Fund application for GDS and/or Match and the Federal Grant application.

⁴ IIJA is currently authorized through September 30, 2026. Congress may extend IIJA prior to passing a new long-term highway program authorization, and these extensions may extend the September 30, 2026 deadline.

- The enabling legislation did not include authorization for the AZ SMART Fund to consider or reimburse expenditures made before the effective date of the legislation, which was September 24, 2022. As a result, expenditures made prior to this date are not eligible for reimbursement and will not be considered.

Program Guidelines

By submitting an application for AZ SMART Funding, Applicants acknowledge and agree to the following Program Guidelines:

1. It is the policy of the Board to award AZ SMART Funds to well-developed applications that maximize the State's competitiveness for each Federal Grant.
2. The Applicant is required to obtain COG/MPO Approval prior to submitting an AZ SMART Fund application.
3. The Applicant is solely responsible for providing a clear and concise Project description and information regarding scope, schedule and budget in the AZ SMART Fund application. ADOT is not responsible for the documentation the Applicant provides in or with the application.
4. Each AZ SMART Fund application will address only one specific Project and one specific Federal Grant.
5. If more than one application is submitted for a Project (for example, Project A is submitted in separate AZ SMART Fund applications for both the MEGA and INFRA Federal Grants), it will be considered only for the Federal Grant with a currently open NOFO/NOFA. If it receives an AZ SMART award related to the current NOFO/NOFA, any additional applications for the Project will become void, not considered further and no information or documentation will be retained by ADOT. No further notification or action will be required from the STB or ADOT regarding the voided application(s).
6. An intergovernmental agreement ("IGA") is required for all AZ SMART Fund awards, including those awarded to CA agencies. All payments of AZ SMART Fund awards will be made on a reimbursement basis following the execution of the IGA between the Applicant and ADOT. Reimbursements will not be made without evidence of a previous, valid expenditure.
7. Federal Grant awards will require the execution of a Federal Grant Agreement with the applicable federal agency. The Federal Grant Agreement must be executed prior to the execution of an IGA with ADOT.
8. All Projects receiving AZ SMART awards will be subject to all federal and ADOT policies, including timely obligation and expenditure of federal funds, invoicing, reporting and other requirements which may be identified by the STB or in the NOFO/NOFA or Federal Grant Agreement.
9. All projects receiving AZ SMART Fund awards are subject to inspection and a final review and audit. Any excess AZ SMART Funds remaining after the final audit will be released from the Project, returned to the sub fund from which the award was made and used for other awards.
10. ADOT project development administration ("PDA") fees will apply to all Projects receiving an AZ SMART Fund award for DOES. PDA fees may also apply to Projects receiving an

award for Match if DOES are allowed by the applicable Federal Grant and the Applicant requests ADOT to administer the Project. PDA fees generally will not be required if an Applicant chooses to be a Direct Recipient for a Federal Grant which allows this option.

The initial PDA fees shown below are eligible DOES expenditures under the AZ SMART Program when they are included in the cost estimates submitted in an application. By submitting an application, the Applicant understands that ADOT may bill additional PDA fees and agrees to pay such fees. Any such additional fees paid that are not required for the Project will be refunded to the Applicant upon approval of the Project final audit.

- CA agencies - \$10,000 initial fee
- Non-CA agencies - \$30,000 initial fee

11. In the AZ SMART application, Applicants must identify if ADOT administration of the Project is requested. If so, PDA fees will apply and should be reflected in the Project cost estimates. ADOT will determine if it is able and willing to accept administration responsibilities and will notify the Applicant and the STB if it is unable to do so prior to the STB meeting at which the application will be considered.
12. ADOT may also be required to administer design and other engineering services and construction projects for road, bridge and rail projects unless the Applicant is a CA agency or Self-administration is necessary to accomplish the purpose of the Project *and* is approved by ADOT. PDA and other fees may apply to Self-administered Projects. Self-administration may not be available or may require certification by ADOT under a separate process.

For transit projects, Self-administration may be an option depending on the Applicant and the Federal Grant that will be pursued.
13. Award of AZ SMART Funds does not authorize additional funding to cover cost overruns, increases, or other overages. Applicants are responsible for all Project costs which exceed the amount awarded from the AZ SMART Fund program and/or a federal agency, including but not limited to, Grant Development and Submission, Match, Design and Other Engineering Services, utilities, right of way, construction and ADOT project development administration fees. This includes cost increases due to inflation and any other increases that may arise.
14. An award of AZ SMART Funds for Match or DOES is not a Notice To Proceed. The required IGA between the Applicant and ADOT must be executed prior to any work being undertaken. Any expenditures incurred prior to the Effective Date of DOES Funds or the Effective Date of Match Funds will not be eligible for reimbursement.
15. ADOT will Set Aside, Obligate, and reimburse funding related to an application up to the amount of the AZ SMART Fund award. Under no circumstances will reimbursements exceed the amount of actual expenditures incurred, regardless of the amount of the AZ SMART Fund award.
16. An AZ SMART Fund award may not be used for purposes, Projects or Federal Grants other than those identified in the AZ SMART Fund application and approved by the STB.
17. Neither the STB nor ADOT guarantees that the PPAC will make a recommendation and the STB will consider and/or approve the AZ SMART Fund application prior to the

NOFO/NOFA deadline. If the Applicant proceeds to apply for a Federal Grant before the STB considers its application for AZ SMART Funds, the Applicant does so with full knowledge and understanding that it may not be awarded AZ SMART Funds.

18. ADOT may provide information on the AZ SMART Fund website, verbally or in meetings or webinars about Federal Grants and tools to help develop cost estimates. This information and these tools are a courtesy only and do not purport to be complete or sufficient for every Project. The Applicant is responsible for developing its own cost estimates, hiring any necessary experts and doing its own Federal Grant research.
19. No change in scope shall be made to a Project receiving an AZ SMART Fund award unless approved by the STB. If the Applicant desires a change in scope:
 - a. The Applicant must submit a formal, written request to the STB requesting the change in scope with an explanation of why it is necessary.
 - b. The Applicant agrees to bear any costs associated with the change in scope.
 - c. If approved by the STB, a formal amendment to applicable agreement(s) is/are required.

Application Approval Process

The following application approval process was established by the AZ SMART Fund enabling legislation. **NOTE:** "The Department" refers to ADOT.

1. ARS §28-399.H. "A political subdivision of this state shall submit an application to the Department to be eligible for an award from the fund. A political subdivision of this state must first obtain the approval of the applicable metropolitan planning organization or council of governments before submitting an application to the Department. The Department may establish an application deadline for each federal grant match."

NOTE: Any application deadlines will be identified on the AZ SMART Fund website.

2. ARS §28-399.I. "On receipt of an application, the Department shall determine if the requirements of the NOFO/NOFA are met and if the approval required under subsection H of this section (COG/MPO approval) has been granted."

NOTES:

- a. The Applicant is solely responsible for providing a clear and concise Project description and information in the AZ SMART Fund application which enables ADOT to make an eligibility determination. ADOT is not responsible for the documentation the Applicant provides in or with the application.
- b. If a NOFO/NOFA for the Federal Grant selected in the AZ SMART Fund application has not been released by the applicable federal agency, the AZ SMART Fund application will be held by ADOT until the NOFO/NOFA has been released. Following the release of the NOFO/NOFA:
 - i. Within seven calendar days of the release of each NOFO/NOFA, ADOT will review the SMART applications for the applicable Federal Grant and will determine if the Applicant and Project are eligible under the terms of the NOFO/NOFA and if the required COG/MPO approval has been provided.

- ii. If ADOT must request additional information to determine eligibility under the NOFO/NOFA, Applicants are required to respond within five business days to resolve eligibility issues and to avoid application delays.
3. ARS §28-399.I. "If the Department determines that the application meets the requirements and is complete, the Department shall forward the application to the Department Committee established pursuant to ARS §28-6951 (the ADOT Priority Planning Advisory Committee or "PPAC") for a recommendation."

NOTES:

- a. The Applicant is solely responsible for providing sufficient and accurate information regarding scope, schedule and budget in the AZ SMART Fund application to enable PPAC to make a recommendation. Neither ADOT nor PPAC is responsible for the information or documents the Applicant provides in or with the application.
 - b. The PPAC meets monthly and will consider the application at its next regularly scheduled monthly meeting.
4. ARS §28-399.I. "If a recommendation is made, the Department shall notify the Chairperson of the Board that the application is ready for consideration and action by the Board."
5. ARS §28-399.J. "Once notified pursuant to subsection I of this section, the Chairperson of the Board shall place the application on an agenda for action within 45 days of the original receipt of the notification. The Board may give preference to Applicants that can demonstrate either or both of the following:
 1. The percentage of matching monies (US \$) provided by the Applicant;
 2. The extent that the Applicant will partner with other entities to deliver the project."
6. ARS §28-399.K. "The Board may approve, deny, modify or request more information on the application."
7. ARS §28-399.K. "If the Board approves and award, the Department shall execute an intergovernmental agreement with the Applicant regarding reimbursement and expenditures pursuant to subsection E (Eligible Uses) of this section."

NOTES: Board Policy #45, Section 4.e requires Applicants to execute any necessary intergovernmental agreements ("IGA") within the following timeframes to avoid AZ SMART Funds from being idle:

- a. 120 calendar days from the date of award by the Board for GDS and DOES awards; and
 - b. 120 days of the date of execution of a Federal Grant Agreement for Match awards.
8. If the STB does not award AZ SMART Funds:
 - a. Within two business days of the STB decision, ADOT will send an electronic notification to the contact person listed in the application indicating the application was not awarded and is null and void.

- b. The application shall become null and void and no data, information or documents will be retained by ADOT. The Applicant may submit another application for the Project in a future round.
 - c. Neither ADOT nor the STB shall bear any responsibility for any consequences arising from inaction on an application or decision not to award AZ SMART Funds.
9. If the STB awards an amount that differs from the amount the Applicant requested in the application:
- a. Within two business days of the STB award, ADOT will send an electronic notification containing the amounts awarded by the STB to the contact person listed in the application.
 - b. The contact person is required to accept or decline the modified award within 5 business days by replying to the email from ADOT. If the Applicant does not reply within 5 business days, the award will be null and void and the monies will be returned to the AZ SMART Fund to be used for other applications.
 - c. If the Applicant accepts the modified award, the Applicant is responsible for all costs associated with the Project exceeding the amount awarded by the STB.
10. If the STB requests more information on the application:
- a. Within two business days of the STB request, ADOT will send an electronic notification containing a list of additional information or documents requested by the STB to the contact person listed in the application.
 - b. The Applicant is required to provide the requested information or documentation within 5 business days by replying to the email from ADOT. If the Applicant does not reply within 5 business days, the application will be null and void.
 - c. Neither ADOT nor the STB shall bear any responsibility for delays arising from the request for, or consideration of, additional information.

Grant Development and Submission Awards

AZ SMART Fund awards for GDS will comply with the following:

1. Expenditures incurred prior to the Date of Approval for Grant Development and Submission are not eligible for reimbursement from the AZ SMART Fund.
2. The amount to be reimbursed to the Applicant for GDS will not exceed 50% of the actual and approved Eligible Costs incurred and paid by the Applicant.
3. If the Applicant is employing a consultant for GDS, the Applicant shall enter into a separate agreement with the consultant and shall be solely responsible to make payments directly to the consultant. ADOT does not provide grant development or writing assistance or services.
4. To request reimbursement from the AZ SMART Fund pursuant to an award for GDS:
 - a. At least quarterly and no more than monthly, the Applicant shall submit the following reimbursement documents to the AZ SMART Fund email box:
 - i. ADOT's Progress Payment Report Form, to be identified in the future IGA addressing GDS;

- ii. Copies of invoices received and paid by the Applicant for Eligible Costs related to GDS;
 - iii. Copies of checks or wire transfers evidencing payment by the Applicant of the invoices;
 - iv. Proof of submission of the application for the applicable Federal Grant. Acceptable sources include a copy of the acknowledgement of receipt or an email confirming receipt of the submitted grant from the applicable federal agency or grant submission website. Applicant is responsible for obtaining proof of submission.
 - v. Other documentation that may be required in the IGA.
- b. Upon confirming that the expenditures qualify for reimbursement, that the Applicant has fully paid and that the documents are valid and complete, ADOT will reimburse the Applicant within 30 days of approval of the reimbursement documents.
 - c. If there has been no reimbursement request related to an AZ SMART Fund award for GDS within 180 days of the Date of Approval for Grant Development and Submission, ADOT will de-obligate the AZ SMART Funds from the Project and make the monies available for other awards by the STB.
5. The IGA with ADOT for an AZ SMART Fund GDS award may contain additional terms and conditions.

Match Awards

AZ SMART Fund awards for Match will comply with the following:

1. By submitting an application for Match, the Applicant commits to also submit an application for the Project and the Federal Grant identified in the AZ SMART Fund application under the current NOFO/NOFA, even if the deadline in the NOFO/NOFA has passed before the STB approves an award for Match. The Applicant also acknowledges it may not receive an AZ SMART Fund award.
2. If the Applicant receives a Federal Grant award, a separate IGA will be required to be executed between the Applicant and ADOT after execution of the Federal Grant Agreement.
3. Expenditures incurred prior to the date of obligation of the Federal Grant are not eligible for reimbursement from an AZ SMART Fund award for Match. Funds will be obligated by ADOT or the applicable federal agency, depending on the entity administering the Project.
4. If the Applicant receives a Federal Grant award:
 - a. Direct recipients:
 - i. Within 15 business days of execution of the Federal Grant Agreement, the Applicant will submit the executed contract and a Project initiation packet to the ADOT Local Public Agency section. ADOT will use the information to develop the required IGA for the AZ SMART Fund Match award. The IGA must be executed within 120 calendar days of the execution of the Federal Grant Agreement, or the award may be terminated and be made available for

- other awards by the STB.
 - ii. The amount to be reimbursed to the Applicant for Match will not exceed the actual expenditures incurred and paid by the Applicant up to the amount awarded by the STB and obligated on the Project.
 - iii. Applicants shall enter into agreements with and make all payments directly to the required consultants and/or professional services for the Project.
 - iv. To request reimbursement from the AZ SMART Fund pursuant to an award for Match:
 - 1) At least quarterly and no more than monthly, the Applicant shall submit the following reimbursement documents to the AZ SMART Fund email box:
 - a. An invoice on ADOT's Progress Payment Report Form, to be identified in the future IGA addressing Match;
 - b. Copies of invoices received and paid by the Applicant for Eligible Costs related to Match;
 - c. Copies of checks or wire transfers evidencing payment of the invoices by the Applicant;
 - d. The Federal Grant Agreement, executed by all parties.
 - e. Other documentation that may be required in the IGA.
 - 2) Upon verification that the services provided qualify for reimbursement, that the Applicant has fully paid and that the documents are valid and complete, ADOT will reimburse the Applicant within 30 days of approval of the reimbursement documents.
 - v. If there has been no reimbursement request related to an AZ SMART Fund award for Match within 180 days of the Effective Date of Match Funds, ADOT reserves the right to de-obligate the AZ SMART funds from the Project and make the monies available for other awards by the STB.
 - vi. The IGA with ADOT for the AZ SMART Fund Match award will contain additional terms and conditions.
 - vii. The IGA with ADOT for an AZ SMART Fund Match award may contain additional terms and conditions.
- b. Sub-recipients:
 - i. Within 15 business days after the award of the Federal Grant, the Applicant will submit a Project initiation packet and other documentation requested by ADOT to the ADOT Local Public Agency section.
 - ii. ADOT will administer all phases of the Project to which the Match award applies unless the Applicant is a CA agency or self-administration is necessary to accomplish the purpose of the Project and is authorized by ADOT. Self-administration may require certification by ADOT under a separate process.
 - iii. The awarding federal agency will require the Applicant and/or ADOT to enter into a Federal Grant Agreement. If the Applicant is the sole party to the Federal Grant Agreement, Applicant agrees to:
 - 1) Provide the draft of the Federal Grant Agreement to ADOT for review as

- soon as it is available.
- 2) Request in a timely manner any changes to the Federal Grant Agreement identified by ADOT.
 - 3) Provide the final executed Federal Grant Agreement to ADOT within 5 business days of execution.
 - 4) Provide any changes made in the Federal Grant Agreement to ADOT in timely manner, which may require an amendment to the IGA with ADOT or further approval by the STB if such changes impact the Project scope, schedule or budget.
- iv. ADOT will develop the required IGA for the AZ SMART Fund Match award based on the Federal Grant Agreement. The IGA will also contain additional terms and conditions.
 - v. The IGA with ADOT must be executed within 120 calendar days of the execution of the Federal Grant Agreement or the award may be terminated and be made available for other awards by the STB.
 - vi. A fully executed IGA does not guarantee funding or constitute permission to begin work. The Applicant must request and receive authorization and a Notice To Proceed from the ADOT Project Manager for each Project phase in advance of starting work.
- c. If the Applicant does not receive an award under the Federal Grant, the Applicant shall notify ADOT within 15 calendar days after the announcement of awards by the federal agency via email to the AZ SMART Fund program email box. If ADOT does not receive the notification from the Applicant within 15 calendar days, it will cancel the AZ SMART Fund award for Match and will make the monies available for other available for other awards by the STB.
 - d. The required IGA with ADOT for the AZ SMART Fund Match award may contain additional terms and conditions.

Design and Other Engineering Services Awards

AZ SMART Fund awards for DOES will comply with the following:

1. ADOT will administer the Project unless the Applicant is a CA Agency or self-administration is necessary to accomplish the purpose of the Project and is authorized by ADOT. Self-administration requires certification by ADOT under a separate process.
2. The Applicant shall submit a Project Initiation packet and other requested documentation to the ADOT Local Public Agency section within 15 business days after the award of AZ SMART Fund by the STB.
3. A separate IGA will be required for each Project which receives an AZ SMART Fund award for DOES. The IGA must be executed within 120 calendar days of the STB award, or the award will be terminated and be made available to other Applicants.
4. A fully executed IGA does not guarantee funding or constitute permission to begin work. The Applicant must request and receive authorization and a Notice To Proceed from the ADOT PM for each Project phase in advance of starting work.
5. CA agencies may request reimbursement from the AZ SMART Fund pursuant to an award

for DOES as follows:

- a. At least quarterly and no more than monthly, the Applicant shall submit the following reimbursement documents to the AZ SMART Fund email box:
 - i. An invoice on ADOT's Progress Payment Report Form, to be identified in the future IGA addressing Match;
 - ii. Copies of invoices received and paid by the Applicant for Eligible Costs related to Match;
 - iii. Copies of checks or wire transfers evidencing payment of the invoices by the Applicant;
 - iv. The Federal Grant Agreement, executed by all parties.
 - v. Other documentation that may be required in the IGA.
- b. Upon verification that the services provided qualify for reimbursement, that the Applicant has fully paid and that the documents are valid and complete, ADOT will reimburse the Applicant within 30 days of approval of the reimbursement documents.
- c. The required IGA with ADOT for the AZ SMART Fund DOES award may contain additional terms and conditions.

Prepare Before Applying

Federal Grant application deadlines average about 45 days after the release of a NOFO/NOFA. To ensure a competitive application for the AZ SMART Fund and a timely submission for a Federal Grant, Applicants encouraged to take the following steps as soon as possible:

- Review the US DOT *Policy on using Bipartisan Infrastructure Law Resources to Build a Better America* and the federal statutes for the desired grant to understand the federal requirements and expectations related to federal applications. These documents are provided as a courtesy on the AZ SMART Fund webpage. Applicants are responsible for conducting their own grant research.
- A Project Cost Estimating Tool is available on the AZ SMART Fund webpage to assist in developing the estimate for a federally funded Project. This Tool is provided as a courtesy only and does not purport to cover all possible costs or scenarios. Applicants will be responsible for all costs which exceed the amount of an AZ SMART Fund or Federal Grant award, including cost increases due to inflation, underestimating, etc. As a result, Applicants are encouraged to ensure their project cost estimates are as comprehensive and up to date as possible and include appropriate contingencies.
- Ensure appropriate contracts are in place for GDS prior to applying for this Eligible Use.

*Arizona State Transportation Board Policy
#45, Sec. 4.c:*

It is the policy of the Board to encourage Applicants to:

- Establish procurement policies and contracts to enable the rapid deployment and submission of strong and competitive federal grant applications.
- Generate well-developed cost estimates to minimize the financial impact to the Applicant.

ADOT does not provide grant writing assistance or services, and ADOT's grant writing contracts are not available to other entities.

- Consult with the COG/MPO to determine the approval process for AZ SMART Fund applications.
- Consider if the Direct Recipient option is desirable. If offered in the NOFO/NOFA, those selecting this option must still execute an IGA with ADOT for the AZ SMART Funding. However, ADOT will generally not be further involved in the Project and therefore PDA fees are not expected to apply.⁵ The administration and oversight of the Project will instead be handled directly by the applicable federal agency.

⁵ There may be circumstances in which ADOT may still be required to participate in project administration and oversight, even if the Applicant is a Direct Recipient. In these cases, PDA fees will apply.

AZ SMART Fund Application Instructions

By submitting an application for AZ SMART Funding, Applicants acknowledge and agree to the following Application Instructions:

- To ensure submission of well-developed and competitive applications, Applicants are strongly encouraged to review the US Department of Transportation (USDOT) Policy on *Building a Better America* and the Federal Grant statutes located in the Federal Discretionary Grant Programs section on the AZ SMART Fund website. These documents are provided to help Applicants understand federal policy considerations, identify applicable grants and determine the eligibility of their project.

NOTE: The AZ SMART Fund website does not purport to include all information related to Federal Grants which may be eligible for the AZ SMART Fund. Applicants are responsible for conducting their own grant research.

- Applications must be submitted electronically on the AZ SMART Fund website and will not be accepted by mail or other electronic means.
- Applicants should complete and submit applications online in a single sitting. Incomplete or unsubmitted applications will not be considered. Unless otherwise noted, all questions are required to be answered and the required documents are to be uploaded for an application to be “Administratively Complete” and processed for further consideration.
- The Applicant is solely responsible for providing a clear and concise Project description in the AZ SMART Fund application which enables ADOT to make an eligibility determination. ADOT is not responsible for the documentation the Applicant provides in or with the application.
- Applicants are strongly encouraged to scope projects as thoroughly as possible and to carefully evaluate cost estimates during planning to ensure adequate funding is requested from both the AZ SMART Fund and the applicable federal agency. Applicants will be responsible for all costs which exceed the amount of an AZ SMART Fund or Federal Grant award.
- Applicants must first obtain the approval of the applicable COG/MPO before submitting an application to ADOT. Written documentation of such approval is required to be uploaded during the application process. Consult with the applicable COG/MPO regarding the approval process.

The following instructions refer to the questions on the sample Application Form, attached as Exhibit A. An Administratively Complete application includes ALL the following information, as applicable. Many of the questions are required (marked with ***Required**) and a response or document upload will be necessary to proceed beyond these questions.

Introduction Section

To assist Applicants in assembling the necessary documentation prior to beginning the Application process, this section includes a checklist of documents which are required to be uploaded. Documents must be in PDF format.

Email – required; enter the email address of the person submitting the AZ SMART Fund application in case follow up is required. This may be different than the email for the Contact

Person.

Applicant Information Section

1. *Name of Applicant City, Town or County* – Required; enter the Name of Applicant City, Town or County.
2. *Name of Contact Person for Applicant* – Required; enter the name of the person who will be responsible for responding to requests for more information, accepting or declining AZ SMART Fund awards, ensuring any agreements are reviewed and approved in a timely manner and resolving other requests and issues that may arise.
3. *By checking the box below, the Contact Person for the Applicant certifies they have read and agree to the **Program Guidelines and Application Instructions** for the AZ SMART Fund Program.* This certification is required and must be provided to proceed with the application.
4. *Contact's Title* – Required; enter the Contact's job title
5. *Contact's Full Mailing Address* – Required; enter the Contact's department (if applicable), street address, city, state and zip code.
6. *Contact's Office Phone #* - Required; enter the Contact's 10-digit office phone number, including area code. Include the Contact's extension, if any.
7. *Contact's Cell Phone #* - Optional; enter the Contact's 10-digit cell phone number, including area code. Although this is not a required field, it is highly recommended, particularly if the Contact works in the field or remotely.
8. *Contact's Email Address* – Required; enter the Contact's work email address.
9. *Select the Applicant's COG/MPO* – Required; select the applicable option from the dropdown list.

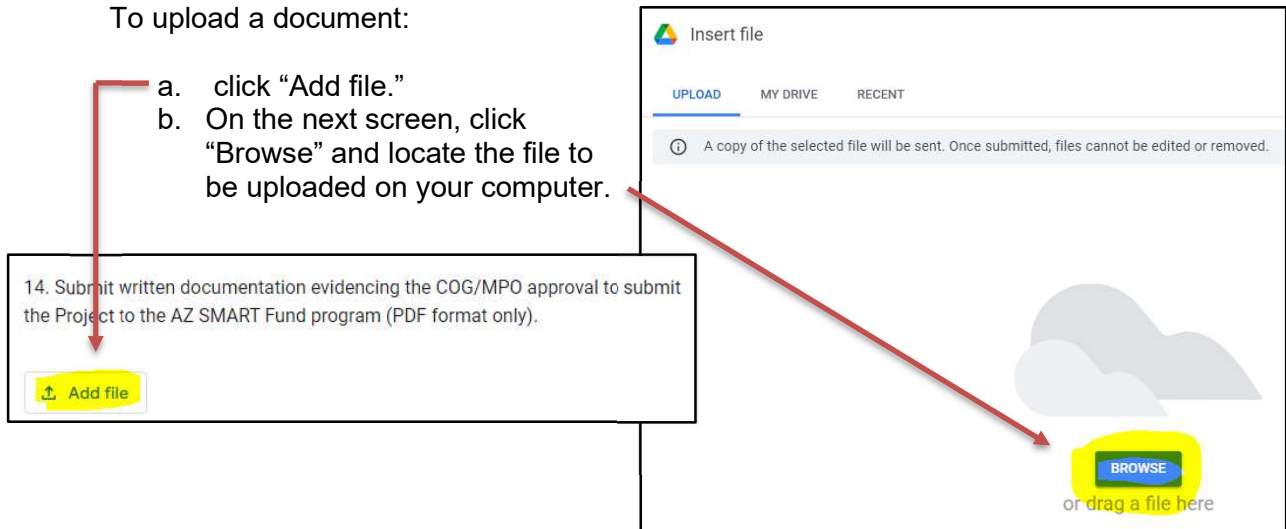
Project Information Section

10. *Select the Project Type* – Required; check only one box. If "Other" is selected, provide further details.
11. *Project Name* – Required; enter a brief, intuitive name for the Project.
12. *Enter the Project limits as applicable* – required. If an infrastructure Project, provide the name of the road and "From" and "To" mileposts or cross streets, bridge structure number, etc. If a non-infrastructure project, enter the geographic area to which the plan or study will relate.
13. *Enter the Project's TIP number, if applicable. If the Project is not in the TIP, enter "NA."* - Optional; Projects applying to the AZ SMART Fund are not required to be in a TIP. However, the associated Federal Grant may have different requirements. The Applicant is responsible for determining if the Project should be included in the TIP, and for taking action to do so, if required.

14. *Submit written documentation evidencing the COG/MPO approval to submit the Project to the AZ SMART Fund program (PDF format only)* – Required; upload a letter or other documentation provided by the COG/MPO demonstrating this approval. **Limited to 1 file; 1 GB maximum size**

To upload a document:

- a. click “Add file.”
- b. On the next screen, click “Browse” and locate the file to be uploaded on your computer.



15. *Project Description* – Required; provide a concise, specific description of the Project, including the type of work to be performed. Applicants are responsible for providing a description which enables ADOT and the STB to determine if the Project is an “Eligible Project” pursuant to the NOFO/NOFA.
16. *For Infrastructure projects, please upload a map showing the Project location* – Required for infrastructure projects (PDF format only). For non-infrastructure projects, skip this question. **Limited to 1 file; 1 GB maximum**
17. *Is the Project contained entirely within the Applicant’s Right of Way?* – Required; for non-infrastructure Projects, check “Not applicable.”
18. *If Project involves ADOT Right of Way, has the Applicant discussed the Project and obtained the consent of the applicable ADOT District office to proceed with this grant application?* – Required; check “Yes” to indicate the Applicant has discussed the Project and obtained the consent of the applicable ADOT District office to proceed with this grant application. If the District office has not been consulted, check “No.” if Project does not involve ADOT’s Right of Way or is a non-infrastructure project, check “Not applicable.”
19. *If Project involves another jurisdiction’s Right of Way, has the Applicant discussed the Project with the applicable jurisdiction and obtained its consent to proceed with this grant application?* Required; if Project does not involve another jurisdiction’s Right of Way or is a non-infrastructure project, check “Not applicable.”
20. *Project Schedule* – Required; check the boxes to show the state fiscal years in which each phase is scheduled to begin. For non-infrastructure projects, use the “Other” row. Each row must contain one checked box. **NOTE:** the state fiscal year runs from July 1 through June 30.

Two examples are provided below to show how to complete the Project Schedule for infrastructure and non-infrastructure projects. In Example 1, an infrastructure Project is scheduled for Design in 2024 and Construction in 2026. Example 2 depicts a non-infrastructure project for which the Design and Construction phases are Not Applicable.

Example 1, Infrastructure Project

	2023	2024	2025	2026	Not Applicable
Design	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Construction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other (for non-infrastructure projects)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Example 2, Non-infrastructure Project

	2023	2024	2025	2026	Not Applicable
Design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Construction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other (for non-infrastructure projects)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

21. **Project Status** – Required; check the boxes to indicate the status of each phase. Each row must contain one checked box. Example 3 below depicts an infrastructure Project for which scoping is completed; design, environmental and utilities are all currently underway; right of way acquisition and Other are not applicable, and construction has not started. Example 4 shows a non-infrastructure Project.

Example 3, Infrastructure Project Status

	Not started	In progress	Completed	Not Applicable
Scoping/Pre-Design	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Design	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Right of Way Acquisition	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Environmental	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Utilities	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Construction	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other (for non-infrastructure projects)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Example 4, Non-infrastructure Project Status

	Not started	In progress	Completed	Not Applicable
Scoping/Pre-Design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Right of Way Acquisition	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Environmental	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Utilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Construction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other (for non-infrastructure projects)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

22. **Design Status** – Required; for each Stage of Design, check either “Not started,” “In progress,” or “Completed” to indicate Design Status. For non-infrastructure projects, check the “Not Applicable” box in each row. In Example 5 below, Stage 1 is completed and Stages 2 through 5 have not yet begun. Example 6 shows a non-infrastructure Project.

Example 5, Design Status for Infrastructure Project

	Not started	In progress	Completed	Not Applicable
Stage 1, 15% design	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Stage 2, 30% design	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stage 3, 60% design	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stage 4, 95% design	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stage 5, 100%	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Example 6, Design Status for Non-infrastructure

	Not started	In progress	Completed	Not Applicable
Stage 1, 15% design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Stage 2, 30% design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Stage 3, 60% design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Stage 4, 95% design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Stage 5, 100%	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

NOTE regarding cost estimates: Careful attention should be paid to developing a thorough and complete cost estimate on a YOE basis. ADOT has developed a Project Cost Estimating Tool which is available on the AZ SMART Fund web page under Application Materials. This tool is provided as a courtesy only and does not purport to cover all possible costs or scenarios. Applicants are ultimately responsible for determining the Project cost estimate. The Applicant will be responsible for all costs which exceed the amount of an AZ SMART Fund or Federal Grant award.

Unless the NOFO/NOFA includes the option to be a direct recipient, include PDA fees for road/bridge/rail projects. For transit projects, an administration fee of 10% of the total project cost should be included.

- 23. *Cost Estimate for Scoping/Pre-design - enter in whole dollars. Enter "0" if not applicable. Required.*
- 24. *Enter the date of the Scoping/Pre-design estimate. Enter "NA" if not applicable. Required.*
- 25. *Cost Estimate for Design - enter in whole dollars. Enter "0" if not applicable. Required.*
- 26. *Enter the date of the Design estimate. Enter "NA" if not applicable. Required.*
- 27. *Cost Estimate for Right of Way- enter in whole dollars. Enter "0" if not applicable. Required.*
- 28. *Enter the date of the Right of Way estimate. Enter "NA" if not applicable. Required.*
- 29. *Cost Estimate for Utilities - enter in whole dollars. Enter "0" if not applicable. Required.*
- 30. *Enter the date of the Utilities estimate. Enter "NA" if not applicable. Required.*
- 31. *Cost Estimate for Construction - enter in whole dollars. Enter "0" if not applicable. Required.*
- 32. *Enter the date of the Construction estimate. Enter "NA" if not applicable. Required.*
- 33. *Cost Estimate for Other - enter in whole dollars. Enter "0" if not applicable. Required.*

34. *Enter the date of the Other estimate. Enter "NA" if not applicable.* Required.
35. *Do the estimates provided reflect costs on a Year of Expenditure (YOE) basis?* Required; reply Yes or No. **NOTE:** Year of Expenditure basis means the costs have been inflated in later years. Applicants are responsible for cost increases due to inflation resulting from failure to calculate adequate YOE estimates.
36. *Please indicate the source of the Project Cost Estimates entered above –* Required; identify if the estimate(s) were developed by the Applicant, an engineering consultant or other source. **NOTE:** ADOT’s Cost Estimation form is provided as a courtesy and does not purport to include all applicable costs or be sufficient for every project. Applicants are responsible for developing their own cost estimate(s).
37. *Please upload documentation showing the Project cost estimates (scoping document, cost estimation form, etc.) –* Required; PDF format only **Limited to 1 file; 1 GB maximum size**

AZ SMART Fund Request Section

38. *County Applicants with population of 100,000 or less and municipalities with population of 10,000 or less ONLY:* Enter the dollar amount requested for Reimbursement of up to 50% of the costs associated with developing and submitting an application for the Federal Grant identified in the application. The amount entered should not exceed 50% of the total estimated costs of developing and submitting the grant. All other applicants, skip this question.
39. *Enter the dollar amount requested from the AZ SMART Fund for Match for the Federal Grant identified in this application.* If not requesting Match funds, skip this question.
40. *Enter the dollar amount of Match monies to be committed by the Applicant for the Project in the Federal Grant identified in this application.* If not requesting Match funding, skip this question.
41. *Enter the percent to the second decimal place of local, matching cash funds which will be provided by the Applicant (beyond the amount requested from the AZ SMART Fund) in the Federal Grant application.* Optional; if not requesting Match, skip this question. If requesting Match, the percentage of the cash match provided by the Applicant **beyond the amount requested from the AZ SMART Fund** will be calculated as follows:

$$x \div y = z, \text{ where}$$

x = Total dollar amount of non-federal, matching cash funds to be provided by the Applicant in the Federal Grant application **beyond the amount requested from the AZ SMART Fund.**

y = Total Project Cost Estimate to be submitted in the Federal Grant application (including contingencies, PDA fees, and any other applicable costs).

z = Percentage of matching funds provided by the Applicant.

NOTES:

- ARS 28-339 authorizes the STB to give preference to Applicants demonstrating matching monies at its discretion.

- Many Federal Grants require a 20% match. Applicants are responsible for conducting their own federal grant research to identify matching requirements and provide accurate information in the AZ SMART Fund application.
42. *Enter the amount requested from the AZ SMART Fund for reimbursement of design and other engineering services expenditures that meet federal design standards for Projects eligible for the Federal Grant identified in the application.* Required; if not requesting DOES funds, skip this question.
43. *Provide the names of any other entities the Applicant will partner with to deliver the Project.* Required; Identify and quantify the contribution of each partner(s) (cash match, in-kind services, etc.). If none, enter "NA." **NOTE:** ARS 28-339 authorizes the STB to give preference to Applicants demonstrating partnership with other entities to deliver the Project at its discretion.

Federal Grant Request Section

44. *How does the Applicant intend to submit the Federal Grant application?* Required. **NOTE:** If requesting ADOT to submit the Federal Grant application, the Applicant is required to:
- Submit the ADOT Grant Coordination Support Request Form at <https://apps.azdot.gov/files/mvd/mvd-forms-lib/42-0103.pdf> at least thirty (30) day prior to the application deadline in the NOFO/NOFA for the applicable Federal Grant, AND
 - Provide the completed application materials to the ADOT Grant office At least seven (7) days before the NOFO/NOFA deadline. Administrative fees may apply for ADOT submission.
45. *How does the Applicant intend to administer the Project if awarded a Federal Grant?* Required; indicate if the Applicant intends to be a direct recipient if allowed in the NOFO/NOFA, request ADOT administration or identify another option. Administration of Federal Grants includes, but may not be limited to, the following options:
- *Applicant as a direct recipient* - if available, this option will be identified in the applicable NOFO/NOFA. Generally, the Applicant will work directly with the federal awarding agency to administer the Project. Other than managing an AZ SMART Fund award for Match on the Federal Grant, ADOT is typically not involved and *generally* no ADOT project development administration fees apply.
 - *ADOT administration required* - Each Project of a non-CA agency or on ADOT right of way may require ADOT administration. At least thirty (30) day prior to the application deadline in the NOFO/NOFA for the applicable Federal Grant, the Applicant is required to submit the ADOT Grant Coordination Support Request Form at <https://apps.azdot.gov/files/mvd/mvd-forms-lib/42-0103.pdf>. ADOT project development administration fees may apply.
 - *ADOT administration desired* - this option is not automatic and is subject to staffing availability and prior written approval from ADOT. At least thirty (30) day prior to the application deadline in the NOFO/NOFA for the applicable Federal Grant, the Applicant is required to submit the ADOT Grant Coordination Support Request Form at <https://apps.azdot.gov/files/mvd/mvd-forms-lib/42-0103.pdf>. ADOT PDA fees will apply.

NOTES:

- A letter of support from ADOT merely means that ADOT is recommending the project be considered for funding. It does not constitute ADOT's agreement to administer the Project.
- An IGA will be required with ADOT related to the AZ SMART Fund award even if the Application is a direct recipient.

46. *Select the Federal Grant for which the Applicant intends to submit the Project.* Required; if not listed, select Other and provide the name of the Federal Grant and the applicable federal agency.

NOTE: The list provided may not include all Federal Grants which meet the requirements of the AZ SMART Fund, may include grants which have not been funded by Congress, or include grants which otherwise may not be eligible or available. Applicants are responsible for conducting their own research and determining the best option for the Project.

47. *In what year does the Applicant intend to submit an application for the Federal Grant?* Required; enter the federal fiscal year in which the Federal Grant application will be submitted. The federal fiscal year begins Oct 1 and runs through Sept 30.

NOTE: Applications must be submitted prior to the expiration of the Infrastructure Investment and Jobs Act, currently expiring on September 30, 2026. Any extensions of the Infrastructure Investment and Jobs Act by Congress may extend the September 30, 2026 deadline.

48. *Which phase(s) of the Project will be submitted in the Federal Grant application?* Required; check the boxes for each applicable phase. Example 7 to the right reflects the Applicant is pursuing a Federal Grant for construction only.

Example 7

The image shows a screenshot of a form with a list of project phases. Each phase has a checkbox to its left. The 'Construction' phase is checked with a green checkmark. The other phases are unchecked.

<input type="checkbox"/>	Design
<input type="checkbox"/>	Right of Way Acquisition
<input checked="" type="checkbox"/>	Construction
<input type="checkbox"/>	Other (for non-infrastructure projects)
<input type="checkbox"/>	Other...

For State Purposes Only Section

No Applicant entry required - this section is reserved for recording STB action on the application

Federal Grant Applications

Federal Grant development and submission is related but independent of the AZ SMART Fund application.

Preparing a Federal Grant Application

Applicants are responsible for developing, preparing, or generating data, narratives, explanations, charts/graphs, cost estimates or any other information in response to a NOFO/NOFA for a Federal Grant application. ADOT is unable to provide grant development or writing services, or access to its grant writing contracts.

Submitting a Federal Grant Application

Road, bridge and rail

The AZ SMART Fund application includes a question regarding how the Applicant intends to submit the Federal Grant application. Applications for many road, bridge and rail Federal Grants can be submitted by the Applicant or its grant consultant. If the Applicant is not eligible to submit an application directly, it may request that ADOT submit the application on behalf of the Applicant as follows:

1. At least thirty (30) day prior to the application deadline in the NOFO/NOFA for the applicable Federal Grant, the Applicant is required to submit the ADOT Grant Coordination Support Request Form at <https://apps.azdot.gov/files/mvd/mvd-forms-lib/42-0103.pdf>.
2. At least seven (7) days before the NOFO/NOFA deadline, all completed application materials must be provided to the ADOT Grant office for submission.

Transit

Pending further direction provided in a NOFO/NOFA, applications for most transit Federal Grants must be submitted to FTA by ADOT on Applicant's behalf. At least thirty (30) day prior to the application deadline in the NOFO/NOFA for the applicable Federal Grant, the Applicant is required to submit the ADOT Grant Coordination Support Request Form at <https://apps.azdot.gov/files/mvd/mvd-forms-lib/42-0103.pdf>. In addition, the completed application is to be provided to the ADOT Grant office for submission a minimum of seven (7) calendar days before the NOFO/NOFA deadline.

If the Applicant is a direct recipient for transit purposes, it may be required to apply for a transit grant directly at <http://grants.gov>. If awarded a Federal Grant, the direct recipient may also be required to submit an application in the Transit Award Management System ([TrAMS](#)).

ADOT will request the Federal Grant funding be made available in the Federal Management Information System ("FMIS") by USDOT for road/bridge/rail programs. Grants from the Federal Transit Administration ("FTA") or other federal agencies may require different processing which will be determined either upon award by the applicable agency or during the review of the grant agreement.

For Further Information

Visit the AZ SMART Fund website at <https://azdot.gov/planning/grant-coordination/az-smart-fund>

Definitions

“AFIS” means the State accounting system known as the Arizona Financial Information System.

“Applicant” means the political subdivision of this state submitting an Application for the AZ SMART Fund.

“Application” means an application submitted by the Applicant to ADOT pursuant to A.R.S. § 28-339 for an award of monies from the AZ SMART Fund for any Eligible Use.

“Authorized Individual” means the person authorized by the Applicant to submit an AZ SMART Fund Application and commit the Applicant in a contractual relationship.

“AZ SMART Fund(s)” means Arizona State Match Advantage for Rural Transportation funds the fund established pursuant to A.R.S. § 28-339.

“CA Agency” means an Applicant that is certified through ADOT’s Certification Acceptance Program and is authorized to independently manage most aspects of the project development process.

“COG/MPO” means a Council of Governments (COG) or Metropolitan Planning Organization (MPO)

“COG/MPO Approval” means the approval by the Applicant’s Council of Governments (COG) or Metropolitan Planning Organization (MPO) prior to submitting the Project to the AZ SMART Fund program, required pursuant to A.R.S. § 28-339.

“Design and Other Engineering Services” or **“DOES”** means preliminary engineering through final design related to a road, bridge, rail or transit infrastructure construction project that the Applicant intends to submit for a Federal Grant on a future date. The Federal Grant application for construction of the Project must be submitted prior to the passage of a new long-term highway program authorization that succeeds the IIJA, which is currently authorized through September 30, 2026. Congress may extend IIJA prior to passing a new long-term highway program authorization, and these extensions may extend the September 30, 2026 deadline.

“Effective Date” means the effective date of the IGA between the Applicant and ADOT for an AZ SMART Fund award.

“Eligible Costs” means the lesser of actual expenditures or the amount awarded by the STB, as follows:

- Grant Development and Submission: Direct costs incurred for the specific Project and Federal Grant identified in the AZ SMART Fund application and which directly arise from Grant Development and Submission.
- Match: The Applicant’s pro-rata portion of the Project costs associated with the Federal Grant.
- Design and Other Engineering Services: Design and Other Engineering Services expenditures that meet federal standards for projects eligible for a Federal Grant.

“Eligible Uses” means the following:

- To reimburse up to fifty percent of the costs associated with Grant Development and

- Submission of an application for a Federal Grant.
- As a Match for a Federal Grant.
- To reimburse Design and Other Engineering Services expenditures that meet federal standards for projects eligible for a Federal Grant.

“Federal Grant” means a federal discretionary grant program administered by any federal agency for surface transportation purposes, the awards for which are made at the discretion of the federal agency and are not funded or distributed by statutory formula.

“Federal Grant Agreement” means an agreement between the Applicant and/or ADOT and the federal agency awarding a Federal Grant.

“Grant Development and Submission” or **“GDS”** means researching, developing, preparing data or information, editing, securing letters of support, submitting required forms, applications or other documents to the federal agency or through the required application website, and coordinating with Project partners on these activities.

“IGA” means intergovernmental agreement required pursuant to A.R.S. § 28-339 for an award from the AZ SMART Fund.

“Match” means the amount of non-federal, cash monies required from the Applicant for a Federal Grant and may consist of funding from the Applicant, the AZ SMART Fund, a Project partner, or other legal source. The type of Match required or allowed will depend on the applicable Federal Grant.

“NOFO/NOFA” means a Notice of Funding Opportunity or Notice of Funding Availability for a Federal Grant.

“Obligate”, “Obligated”, or “Obligation” means the Project has received all required approvals from ADOT and the applicable federal agency and the funding has been applied to the Project in AFIS. Obligated funding may not be transferred to another Project.

“Project” means the specific project identified by the Applicant in each AZ SMART Fund application. The Project may not be substituted with another project.

“Set Aside” means an amount of AZ SMART Funding awarded by the STB to the Applicant for the specific Project. Set Aside funds will generally be obligated to the Project in AFIS within 30 days of the execution of an IGA between Applicant and ADOT or obligation, applicable. Set Aside funding may not be transferred to another Project or Federal Grant and will not accrue interest.

“Sub Recipient” means an entity (the Applicant) that receives a sub award from a pass-through entity (ADOT) to carry out a federal award.

“STB” means the State Transportation Board.

EXHIBIT A

Example AZ SMART Fund Application Form

(For exhibit purposes only; not for use to submit an application)

Arizona State Match Advantage for Rural Transportation (AZ SMART) Fund Application

Each application may address only one Project and one Federal Grant. Additional Projects and/or Federal Grants require a separate application. See the Application Guidelines for important information and detailed instructions for completing this Application. To ensure the Application is Administratively Complete and will be presented to the State Transportation Board, please respond to all questions and submit all requested documents.

Document Checklist: the following documents required to be uploaded to complete this application (PDFs required for all uploaded documents):

1. Documentation evidencing the COG/MPO approval to apply to the AZ SMART Fund
2. Map showing Project location (for infrastructure projects and studies).
3. Documentation showing the Project cost estimates (scoping document, cost estimation form, etc.). **NOTE:** Careful attention should be given to developing the cost estimate as the Applicant is responsible for all costs exceeding the amount awarded from the AZ SMART Fund and/or a Federal Grant.

* Required

Applicant Information

Please answer all the questions below.

1. 1. Name of Applicant City, Town or County *

2. 2. Name of Contact Person for Applicant *

3. 3. By checking the box below, the Contact Person for the Applicant certifies they have read and agree to the **Program Guidelines and Application Instructions** for the AZ SMART Fund Program. *

Check all that apply.

I have read and agree to the Program Guidelines and Application Instructions for the AZ SMART Fund Program.

4. 4. Contact's Title *

5. 5. Contact's Full Mailing Address *

6. 6. Contact's Office Phone # *

7. 7. Contact's Cell Phone # (if applicable)

8. 8. Contact's Email Address *

9. 9. Select the Applicant's COG/MPO. *

Mark only one oval.

- Central Arizona Governments (CAG)
- Central Yavapai Metropolitan Planning Organization (CYMPO)
- Flagstaff Metropolitan Planning Organization (MetroPlan)
- Lake Havasu Metropolitan Planning Organization (LHMPO)
- Maricopa Association of Governments (MAG)
- Northern Arizona Council of Governments (NACOG)
- Pima Association of Governments (PAG)
- Sierra Vista Metropolitan Planning Organization (SVMPO)
- Southeastern Arizona Governments Organization (SEAGO)
- Sun Corridor Metropolitan Planning Organization (SCMPO)
- Western Arizona Council of Governments (WACOG)
- Yuma Metropolitan Planning Organization (YMPO)

Project Information

Please answer all the questions below.

NOTE regarding ADOT project design administration (PDA) fees: If requesting ADOT administration of the Project, ADOT PDA fees will apply. These fees are eligible for AZ SMART Funding only when included in an Application for Design and Other Engineering Services or for Match on a federal grant application which will include design. The PDA fees shown below are initial estimates only and may be more or less, depending on the Project. By submitting this application, the Applicant understands that ADOT may bill additional PDA fees and agrees to pay such fees. Any fees not required for the Project will be refunded to the Applicant upon approval of the Project final voucher.

- Certification Accepted (CA) agencies - \$10,000 initial fee
- Non-CA agencies - \$30,000 initial fee

10. 10. Select the Project Type. *

Check all that apply.

- Road
- Bridge
- Transit
- Rail
- Other: _____

11. 11. Project Name - enter a brief, intuitive name. *

12. 12. Enter the Project limits as applicable. If an infrastructure Project is infrastructure, provide the name of the road and "From" and "To" Mileposts or Cross Streets. If a non-infrastructure project, enter the geographic area to which the plan or study will relate. *

13. 13. Enter the Project's TIP number, if applicable. If the Project is not in the TIP, enter "NA". *

14. 14. Submit written documentation evidencing the COG/MPO approval to submit the Project to the AZ SMART Fund program (PDF format only). *

Files submitted:

15. 15. Project Description - Provide a concise, specific description of the Project, including the type of work to be performed and benefits to be realized. *

16. 16. For infrastructure projects, please upload a map showing the Project location (PDF format only).

Files submitted:

17. 17. Is the Project entirely in the Applicant's Right of Way? For non-infrastructure projects, check "Not applicable." *

Check all that apply.

- Yes
 No
 Not applicable

18. 18. If Project involves ADOT Right of Way, has the Applicant discussed the Project and obtained the consent of the applicable ADOT District office to proceed with this grant application? If no ADOT Right of Way or a non-infrastructure project, check "Not applicable." *

Check all that apply.

- Yes
 No
 Not Applicable

19. 19. If Project involves another jurisdiction's Right of Way, has the Applicant discussed the Project with applicable jurisdiction and obtained its consent to proceed with this grant application? If no other Right of Way or non-infrastructure project, check "Not applicable." *

Check all that apply.

- Yes
 No
 Not applicable

20. 20. Project Schedule - check the boxes to show the State Fiscal Years in which each phase is scheduled to begin. Check only ONE box in each row. Non-infrastructure projects - check the boxes under Not Applicable for each row. **NOTE:** the State Fiscal Year runs from July 1 through June 30. *

Check all that apply.

	2023	2024	2025	2026	Not Applicable
Design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Construction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (for non- infrastructure projects)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

21. 21. Project Status - check the boxes to indicate the status of each phase. Check only ONE * box in each row. Non-infrastructure projects - check the boxes under Not Applicable for each row.

Check all that apply.

	Not started	In progress	Completed	Not Applicable
Scoping/Pre-Design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Right of Way Acquisition	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Environmental	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Utilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Construction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (for non-infrastructure projects)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

22. Design Status - for each Stage, check one box to indicate the Project's Design Status. Non-infrastructure projects - check the boxes under Not Applicable for each row.

Check all that apply.

	Not started	In progress	Completed	Not Applicable
Stage 1, 15% design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stage 2, 30% design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stage 3, 60% design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stage 4, 95% design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stage 5, 100%	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

23. 23. Cost Estimate for Scoping/Pre-design - enter in whole dollars (for example, 250,000). Enter "0" if not applicable. *

24. 24. Enter the date of the Scoping/Pre-design estimate. Enter "NA" if not applicable. *

25. 25. Cost Estimate for Design - enter in whole dollars (for example, 250,000). Enter "0" if not applicable. *

26. 26. Enter the date of the Design estimate. Enter "NA" if not applicable. *

27. 27. Cost Estimate for Right of Way - enter in whole dollars (for example, 250,000). Enter "0" if not applicable. *

28. 28. Enter the date of the Right of Way estimate. Enter "NA" if not applicable. *

29. 29. Cost Estimate for Utilities - enter in whole dollars (for example, 250,000). Enter "0" if not applicable. *

30. 30. Enter the date of the Utilities estimate. Enter "NA" if not applicable. *

31. 31. Cost Estimate for Construction - enter in whole dollars (for example, 250,000). Enter "0" if not applicable. *

32. 32. Enter the date of the Construction estimate. Enter "NA" if not applicable. *

33. 33. Cost Estimate for Other - enter in whole dollars (for example, 250,000) . Enter "0" if not applicable. *

34. 34. Enter the date of the Other estimate. Enter "NA" if not applicable. *

35. 35. Do the estimates provided reflect costs on a Year of Expenditure basis? Note: Year of Expenditure basis means the costs have been inflated in later years. *

Check all that apply.

Yes

No

36. 36. Please indicate the source of the Project Cost Estimates entered above. *

Check all that apply.

Developed by the Applicant

Developed by an engineering consultant

Other: _____

37. 37. Please upload documentation (PDF format only) showing the Project cost estimates (scoping document, cost estimation form, etc.). *

Files submitted:

**AZ
SMART
Fund
Request**

Please answer all the questions below.

NOTE: Careful attention should be paid to developing a thorough and complete cost estimate on a year of expenditure basis. The Applicant will be responsible for all costs which exceed the amount of an AZ SMART Fund or federal grant award. ADOT has developed a Project Cost Estimating Tool which is available on the AZ SMART Fund webpage under Application Materials. This tool is provided as a courtesy only and does not purport to cover all possible costs or scenarios. Applicants are ultimately responsible for determining the Project cost estimate.

Unless the NOFO/NOFA includes the option to be a direct recipient, both CA and non-CA agencies should include initial project development fees for road/bridge/rail projects. For transit projects, an administration fee of 10% of the total project cost will apply.

38. 38. County Applicants with population of 100,000 or less and municipalities with population of 10,000 or less ONLY: Enter the amount requested for Reimbursement of up to 50% of the costs associated with developing and submitting an application for the Federal Grant identified below. **The amount entered below should be no more than 50% of the total estimated costs of developing and submitting the grant** - enter in whole dollars (for example, 250,000).

39. 39. Enter the amount requested from the AZ SMART Fund for Match for the Federal Grant identified in this application - enter in whole dollars (for example, 250,000). If not requesting Match, skip this question.

40. 40. In addition to the Match amount requested from the AZ SMART Fund in the previous question, enter the dollar amount of Matching cash funds to be committed by the Applicant for the Project in the Federal Grant identified in this application. If not requesting Match, skip this question.

41. 41. Enter the percent to the second decimal place (for example, 15.05%) of Matching cash funds which will be provided by the Applicant (**beyond the amount requested from the AZ SMART Fund**) in the Federal Grant application - see Application Guidelines for directions to calculate the percentage. If not requesting Match, skip this question.

42. 42. Enter the amount requested from the AZ SMART Fund for reimbursement of design and other engineering services expenditures that meet federal design standards for Projects eligible for the Federal Grant identified in this application. Enter in whole dollars (for example, 250,000). If not requesting design funds, skip this question.

43. Provide the names of any other entities the Applicant will partner with to deliver the Project. Identify and quantify the contribution of each partner(s) (dollar amount of cash match, type of in-kind services, etc.). If none, enter "NA."

Federal Grant

Please answer all the questions below. NOTE: Federal grants eligible under the SMART Fund are federal discretionary grant programs administered by any federal agency for SURFACE TRANSPORTATION PURPOSES.

44. How does the Applicant intend to submit the federal grant application? **Note:** If requesting ADOT to submit, the following time frames apply: *

A. At least thirty (30) day prior to the application deadline in the NOFO for the applicable federal discretionary grant, the Applicant is required to submit the ADOT Grant Coordination Support Request Form at <https://apps.azdot.gov/files/mvd/mvd-forms-lib/42-0103.pdf>.

B. At least seven (7) days before the NOFO/NOFA deadline, the completed application materials must be provided to the ADOT Grant office for submission.

Check all that apply.

- Applicant or consultant will submit directly
- Applicant requests ADOT to submit
- Other: _____

45. How does the Applicant intend to administer the Project if awarded a federal grant? *

Check all that apply.

- Be a direct recipient if allowed in the NOFO
- Request ADOT administration (Project development administration fees will apply)
- Other: _____

46. 46. Select the Federal Grant for which the Applicant intends to submit the Project - select one grant only. If the desired grant is not listed, select Other and provide the name of the grant and the applicable federal agency. **NOTE:** This list does not include all federal discretionary grants and may contain grants that are not currently available or funded. Applicants are responsible for conducting their own research to identify an appropriate federal grant for their Project. *

Check all that apply.

- Active Transportation Infrastructure Investment Program
- Bridge Investment Program
- Defense Community Infrastructure Pilot
- Grants for Charging and Fueling Infrastructure
- Local and Regional Project Assistance (RAISE)
- Multi State Freight Corridor Planning
- National Culvert Removal, Replacement and Restoration Grant Program
- National Infrastructure Project Assistance (MEGA)
- Nationally Significant Freight and Highway Projects (INFRA)
- PROTECT Grant Program
- Reconnecting Communities Pilot Program
- Rural Surface Transportation Grant Program
- Safe Streets and Roads for All Program (SS4A)
- Strategic Innovation for Revenue Collection
- Strengthening Mobility and Revolutionizing Transportation Grant Program
- Wildlife Crossing Safety
- Rail - Consolidated Rail Infrastructure and Safety Improvements Grants
- Rail - Fixed Guideway Capital Investment Grants
- Rail - Restoration and Enhancement Grants
- Rail - Railroad Crossing Elimination Program
- Transit - All Stations Accessibility
- Transit - Better Utilizing Investments to Leverage Development (BUILD) Transportation Discretionary Grants Program
- Transit - Buses and Bus Facilities Program
- Transit - Develop Interoperable Standards for Bus Exportable Power Systems (BEPS)
- Transit - Innovative Coordinated Access and Mobility (ICAM) Pilot Program
- Transit - Low-No Emission Vehicle Program
- Transit - Public Transportation Innovation Program
- Transit - State of Good Repair Grants Program
- Transit - Technical Assistance, Standards Development, and Workforce Development Programs
- Other: _____

47. 47. In what Federal Fiscal Year does the Applicant intend to submit an application for the Federal Grant? **NOTE:** the Federal Fiscal Year runs from October 1 through September 30. Applications must be submitted prior to the expiration of the Infrastructure Investment and Jobs Act, currently expiring on September 30, 2026. *

48. 48. Which phase of the Project will be submitted in the Federal Grant application? *

Check all that apply.

- Design
- Right of Way Acquisition
- Construction
- Other: _____

**For State Purposes
only**

Adopted at STB meeting on _____. Action taken:

___ Approved

___ Denied

___ Modified as shown in the attached document

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