

# **AZ SMART Request for Grant Applications and Agreement (RFGAA)**

## **Pre-Application Conference**

November 14, 2024

Lisa Danka, Programming Manager  
Multimodal Planning Division

# Agenda

This meeting is being recorded.

- Review of RFGAA, including overview of AZ SMART Program
- Review of AZ SMART website, including Questions and Answers page
- Questions

## **IMPORTANT!**

Due to statutory timeframe requirements and allowances, neither the Board nor ADOT guarantees that PPAC will make a recommendation or the Board will consider or approve AZ SMART Fund applications prior to a federal grant deadline. An Applicant that proceeds to apply for a Federal Grant before the Board awards its application does so with full knowledge and understanding that it may not receive an award, or may be awarded less than requested, from the AZ SMART Fund.

# Overview of RFGAA and AZ SMART Program

## **QUICK TIP!**

**Scope, schedule and budget (SSB) is the most critical information in the application.** The cost to hire a consultant to prepare SSB may be reimbursed under DOES *provided the services are procured under a solicitation that meets federal standards AND the costs are included in the budget submitted with the application.* Applications with well-developed SSB are expected to move through review and be referred to PPAC and the Board more quickly.

# Review of RFGAA

**Request for Grant Applications and Agreement ("RFGAA")**  
**NOTE:** Capitalized words in this document signify terms which have been defined for the purposes of the AZ SMART Program. See [Definitions](#) section.

Solicitation Title: Arizona State Match Advantage for Rural Transportation ("AZ SMART") Fund  
Solicitation Release Date: November 1, 2024  
Preapplication Conference Virtual Meeting Date:  
Thursday, November 14, 2024 - 10:00 AM to 12:00 PM Arizona Time  
To join virtual meeting: [meet.google.com/hjw-ztvi-tbp](https://meet.google.com/hjw-ztvi-tbp)  
To join by phone: (US) +1 318-652-8578 PIN: 423 479 347#

**RFGAA Questions Due Date:** Questions are continuously accepted by emailing them to [azsmart@azdot.gov](mailto:azsmart@azdot.gov). Questions and Answers will be posted and updated periodically on the [AZ SMART website](#) on the Questions and Answers webpage. Applicants are responsible for reviewing this information before applying and the Authorized Representative is required to certify in the application that he/she has read and understood the RFGAA and the Questions and Answers webpage.

**RFGAA Due Date and Time:** After an initial 6 week application period, this solicitation will be continuously open and applications will be continuously accepted.

**Anticipated Award Date:** An application will be scored when all required information and documentation has been updated, completed and received by the Arizona Department of Transportation ("ADOT") and deemed Ready to Proceed. After scoring, an application will be forwarded to the Priority Planning Advisory Committee ("PPAC") for a recommendation. If PPAC makes a recommendation, the application will be forwarded to the State Transportation Board ("Board") for consideration. The Board may approve, deny, modify or request additional information on the Board's agenda. Applications will be awarded by the Board at a monthly meeting; see <https://aztransportationboard.gov/> for dates and times.

**Total Available Funding:** See [AZ SMART website](#) for the Current Funding and awarded applications.

**Solicitation Point of Contact:** AZ SMART Program Manager, [azsmart@azdot.gov](mailto:azsmart@azdot.gov)  
**This RFGAA is a Contract:** Applicants are advised to review the entire RFGAA before applying. The executed version of this RFGAA constitutes the agreement required between ADOT and the Applicant and incorporates the Application, all data, information, documents and approvals submitted by the Applicant.

- **RFGAA is your contract - READ IT BEFORE APPLYING!** Authorized Representative must certify understanding in Offer.
- Available at <https://azdot.gov/planning/grant-coordination/az-smart-fund/az-smart-fund-application-materials>
- All questions must be directed to [azsmart@azdot.gov](mailto:azsmart@azdot.gov); responses will be posted on AZ SMART Questions and Answers page
- Available funding and awarded applications are posted on AZ SMART webpage

## Table of Contents

I. INTRODUCTION .....	3
A. Solicitation Purpose .....	3
B. Available Funding .....	3
C. Multiple Awards .....	3
D. Application Submission and Anticipated Award Dates .....	3
E. No Guarantee of Timely Award .....	4
F. Questions about the RFGAA .....	4
G. Applicable Statutes, Policies and Documents .....	4
II. SPECIFICATIONS .....	6
B. Funding Categories .....	6
C. Fund Status .....	7
D. Eligible Applicants .....	7
E. Funding Categories .....	7
F. Eligible Projects .....	8
G. Eligible Uses .....	9
H. Ineligible Uses .....	9
III. APPLICATION, REVIEW, RECOMMENDATION AND BOARD ACTION PROCESS .....	11
IV. FEDERAL GRANTS APPLICATIONS .....	22
V. PRIORITY CRITERIA AND SCORES .....	24
VI. REQUESTING REIMBURSEMENT FROM AZ SMART .....	29
VII. SPECIAL TERMS AND CONDITIONS .....	31
VIII. STANDARD TERMS AND CONDITIONS .....	39
IX. OFFER AND ACCEPTANCE .....	43
X. DEFINITIONS AND ABBREVIATIONS .....	45
XI. PROJECT NAMING GUIDANCE .....	49
XII. ARS §28-339, AZ SMART LAW .....	50
XIII. ARIZONA CONSTITUTION, ARTICLE 9, SECTION 7 .....	53
XIV. ARS §41-2701 ET SEQ, GRANT STATUTE .....	54
XV. STATE TRANSPORTATION BOARD POLICY #45 .....	58
AZ State Match Advantage for Rural Transportation (AZ SMART) Fund (approved 10/18/24) .....	58
XVI. SAMPLE RESOLUTION OF GOVERNING BODY .....	59
XVII. AZ SMART PAYMENT PROGRESS FORM .....	61
XVIII. APPLICATION INSTRUCTIONS .....	62
XIX. SAMPLE AZ SMART FUND APPLICATION FORM .....	78

# Review of RFGAA

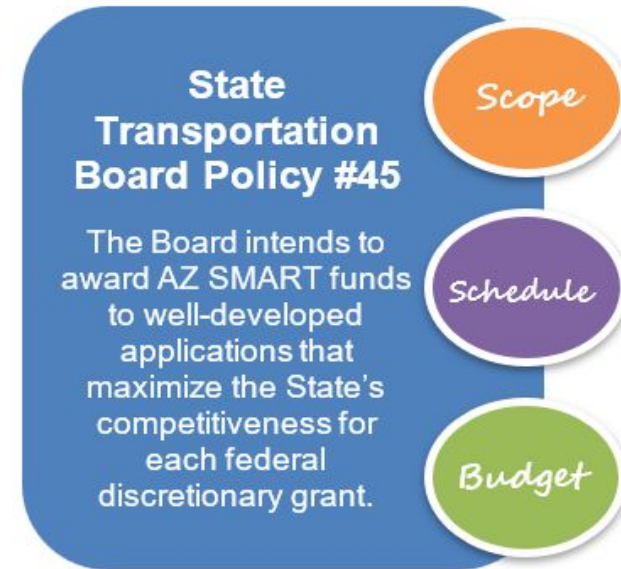
- Board intends to make multiple awards
- Required 6 week application period; applications continuously accepted thereafter
- First review of applications expected December 16, 2024
- Applications will go to PPAC and Board when ready to proceed
- Board may consider/award applications in January 2025 at the earliest

### QUICK TIP!

Headings listed in the Table of Contents are linked to the sections in the RFGAA.

# AZ SMART Overview

- **Purpose** - Improve Arizona's competitiveness for *federal discretionary grants* for *surface transportation projects*, which include:
  - Road, bridge, transit, or rail
  - Related facilities such as bicycle, pedestrian paths and trails
  - Planning or studies
  - Surface transportation elements of multimodal projects
  - Other surface transportation projects
- **Eligible Applicants** - any entity eligible for a *federal discretionary grant* for a surface transportation project.
- **Eligible Projects** - surface transportation projects eligible for specified *federal discretionary grant*. Projects must be related to a public facility and be continuously available for use by the public.



# AZ SMART Overview

- **Eligible Uses** - Fund or reimburse:
  - Design and other engineering services (DOES)\* *that meet federal standards.* **State law requires DOES awardees to apply for a federal discretionary grant within 2 yrs or repay the DOES funds - no flexibility or grace period.**
  - Required Match on a federal discretionary grant; *must meet federal standards.*
  - Reimbursement of up to 50% of costs to development and submission (GDS) a federal discretionary grant; not required to meet federal standards. Limited to projects located in municipalities with population of less than 10,000 and counties less than 100,000.
  - AZ SMART funds may not be transferred to applicant.

\*Scoping through final design, including clearances

## **IMPORTANT!**

**Federal Standards** means expenditures are incurred through a procurement which includes applicable ***federal contract provisions***. See Definition in RFGAA.

# AZ SMART Overview



## QUICK TIP!

USDOT's Discretionary Grant Dashboard (<https://www.transportation.gov/grants/dashboard>) is an excellent tool for locating grant opportunities.

- **Ineligible Uses** - among other things, may not be used for:
  - Any project partially or wholly in Maricopa or Pima Counties.
  - Expenditures not meeting *federal standards* or not directly related to a road bridge, rail, transit project or components of a multimodal project not directly related to a road, bridge, rail, transit project.
  - Changes in scope.
  - Expenditures incurred prior to September 14, 2024, or incurred prior to the execution of a federal grant agreement.
  - Match in excess of the amount required for the *federal discretionary grant*.
  - Any project not awarded or pursuing a *federal discretionary grant* - *Congressionally Directed Spending is not a federal discretionary grant*.
  - Formula federal aid projects (HSIP, TA, etc.).
  - Expenditures for which funding is received/awarded from any other source for the same Project and purpose in an amount equal to or greater than the AZ SMART award.
  - Expenditures not eligible under the applicable *federal discretionary grant*.
  - Funding exceeding actual incurred expenditures



# AZ SMART Overview

## NOTE!

ADOT does not provide letters of support for AZ SMART applications.

- Most DOES projects will be administered by ADOT; initial Project development administration (PDA) fees of \$30K are eligible for DOES *if included in the Project budget submitted with the application.*
- Self-administration *may* be approved based on nature of project
- Direct recipients and self-administering applicants:
  - Must ensure expenditures *meet federal standards* to be eligible for reimbursement
  - Are responsible for meeting all federal requirements
  - Pay invoices first and then submit to AZ SMART or federal agency for reimbursement.
    - Reimbursement can take 1-2 months
    - For Match awards, request federal reimbursement first to receive the AZ SMART match share; proof of federal reimbursement is required.
  - If you later request ADOT administration:
    - ADOT will need to determine if it can take on the project
    - PDA and/or construction administration fees apply as applicable.
  - Transit, rail and other projects generally have different requirements

# AZ SMART Funding

- Current available funding by category:

As of 10/31/2024	Cumulative AZ SMART Fund Report				
	ADOT	Muni < 10K	Muni 10K+	County < 100K	County 100K+
Available for Awards	\$ 5,483,134	\$ 3,478,900	\$ 318,770	\$ 5,864,536	\$ 3,152,856

## QUICK TIP!

See AZ SMART Eligibility by Population file on AZ SMART Resources webpage to determine eligibility for the Program and the Grant Development and Submission Eligible Use.

- Funding category is based on location of project
- Updated funding and award activity posted after each Board meeting reflecting:
  - Receipt of interest earnings.
  - Board approval of new or rescinded applications.
  - Match returned from unsuccessful federal grant applicants
- Available funds may be pooled and equally redistributed across all 5 categories each January and July at Board's discretion

1

## Application Development

*Applicants determine the schedule*

(ARS §28-339.H)

- Identify appropriate Federal Grant opportunities
- Ensure procurements and solicitations meet Federal Standards
- Review RFGAA, any AZ SMART Pre-application webinar recording and Questions and Answers page on the AZ SMART website
- Prepare well-developed Scope, Schedule and Budget
- Obtain Governing Body approval and executed resolution
- Obtain COG/MPO approval letter
- Assemble all required documents
- Submit Administratively Complete application

# Application, Review, Recommendation and Board Action Process

## Phase 1 - Application Development:

- Begin preparing now:
  - READ the RFGAA - *this is your contract!*
  - Attend or watch recording of Preapplication Conference.
  - Identify project(s) to submit for a *federal discretionary grant*.
  - Use USDOT Discretionary Grants Dashboard to find suitable grants (link in RFGAA). DOES have 2 years to apply *and need to anticipate the NOFO release date*. If the timing doesn't work, find another federal grant.
  - Review past NOFO/NOFA or federal statutes establishing the Federal Grant to determine Project and Applicant eligibility, priority criteria, eligible expenditures, etc. Many grant statutes are on the AZ SMART website.
  - Intending to be a Direct Recipient? Ensure procurements contain the applicable federal provisions so expenditures meet *federal standards*.
- **Prepare a well-developed Project Scope, Schedule and Budget:**
  - *Most important part of the application!* The quality of this information determines how quickly an application is referred to PPAC and the Board.
  - May be reimbursed under DOES provided services meet *federal standards* AND are included in the budget submitted with the application.

1

## Application Development

*Applicants determine the schedule*

(ARS §28-339.H)

- Identify appropriate Federal Grant opportunities
- Ensure procurements and solicitations meet Federal Standards
- Review RFGAA, any AZ SMART Pre-application webinar recording and Questions and Answers page on the AZ SMART website
- Prepare well-developed Scope, Schedule and Budget
- Obtain Governing Body approval and executed resolution
- Obtain COG/MPO approval letter
- Assemble all required documents
- Submit Administratively Complete application

# Application, Review, Recommendation and Board Action Process

## Phase 1 - Application Development, continued:

- Assemble required documents - Document Checklist included in Application Instructions. Trade secrets or proprietary info must be marked CONFIDENTIAL:
  - Application - completed online; see sample included in RFGAA to assist in preparing responses
  - Signed governing body approval - sample resolution included in RFGAA
  - COG/MPO approval letter
  - Signed Offer and delegation for Authorized Representative to sign the Offer
  - Project map
  - Project budget - infrastructure projects must use ADOT's Cost Estimate form; non-infrastructure projects may submit other itemized format - no lump sum budgets accepted
  - Links to planning documents
  - Procurement contracts, if requesting reimbursement
  - Letters of support
  - Direct recipients - links to audits or financial statements
  - Non-governmental entities - legal organizing documents, IRS determination letter (non-profits only)
  - Other documents requested by ADOT

2

## Application and Courtesy Technical Review, Application Evaluation

*Up to 8 weeks or more for DOES;  
GDS and Match may proceed  
sooner*

(ARS §28-339.H and I)

- Review for Administrative Completeness
- Determine eligibility for Federal Grant
- Conduct Courtesy Technical Review of Project scope, schedule and budget
- Review and negotiate exceptions and contractual issues
- Send Review Recap to Applicant
- Applicant responds to Recap and revises application
- Score and rank applications when Ready to Proceed
- Refer Applications to PPAC

# Application, Review, Recommendation and Board Action Process

## Phase 2 - Application and Courtesy Technical Review and Application Evaluation:

- ADOT will:
  - Post names of applicants on AZ SMART webpage
  - Review applications to ensure *administrative completeness*
  - Determine if applicant and project are eligible for selected *federal discretionary grant* and if COG/MPO approval has been provided
  - Calculate Quick Ratio for Direct Recipients or applicants approved for self-administration to ensure invoices can be paid timely and applicant can wait for reimbursement
  - Validate previous experience with *federal discretionary grants* or formula federal aid
  - Conduct Courtesy Technical Review on all applications - *Quality of scope, schedule and budget determines how quickly this is completed*
  - Identify and resolve any contractual exceptions or issues
  - Prepare and forward a Review Recap with questions/issues to applicant.

### Application and Courtesy Technical Review, Application Evaluation

*Up to 8 weeks or more for DOES;  
GDS and Match may proceed  
sooner*

(ARS §28-339.H and I)

- Review for Administrative Completeness
- Determine eligibility for Federal Grant
- Conduct Courtesy Technical Review of Project scope, schedule and budget
- Review and negotiate exceptions and contractual issues
- Send Review Recap to Applicant
- Applicant responds to Recap and revises application
- Score and rank applications when Ready to Proceed
- Refer Applications to PPAC

# Application, Review, Recommendation and Board Action Process

## Phase 2 - Application and Courtesy Technical Review and Application Evaluation, continued:

- Applicant:
  - Will respond in writing to the Review Recap within 10 business days
  - May update application during this time if desired
  - When ready to proceed, applications will be forwarded to at least 3 Evaluators.
- Evaluators score and rank applications based on Priority Criteria discussed in RFGAA. Applications are confidential during this process.
- After scoring and ranking, applications will be placed on next practicable PPAC agenda.



# Application, Review, Recommendation and Board Action Process

3

## PPAC Recommendation

*2-4 weeks after Scoring and Ranking*

(ARS §28-339.I)

- Meets monthly
- Reviews applications, scores and rankings, and makes recommendation to Board

### Phase 3 - PPAC Recommendation:

- Public body which meets monthly; see PPAC page on ADOT's website for dates and times
- ADOT will invite applicants if their application is on the agenda
- A representative familiar with the project should attend to answer questions
- Applicants may take advantage of Call to Public to BRIEFLY discuss their project
- If PPAC recommends an application, the Board Chairperson will be notified it is ready for consideration
- PPAC recommendation does not constitute approval or endorsement

**Link to PPAC website:**

<https://azdot.gov/about/boards-and-committees/priority-planning-advisory-committee>

# Application, Review, Recommendation and Board Action Process

4

## Board Action

*Up to 45 days after receiving  
PPAC recommendation*

(ARS §28-339.K)

- Meets monthly
- Approve
- Deny
- Modify
- Request more information

### Phase 4 - Board Action:

- Public body which meets monthly; see Board website for dates and times
- Board Chairperson has 45 days to place application on Board agenda
- Board is required to:
  - Approve all AZ SMART awards
  - Rescind DOES awards for projects that do not meet the 2 yr deadline to submit a *federal discretionary grant*
  - Rescind any award for which the applicant received funding from another other source for the same Project and purpose in an amount equal to or greater than the amount requested or awarded from AZ SMART
  - Rescind any award for an applicant which is no longer pursuing a *federal discretionary grant*

**Link to State Transportation Board website:**

<https://aztransportationboard.gov/>



# Application, Review, Recommendation and Board Action Process

4

## Board Action

*Up to 45 days after receiving  
PPAC recommendation*

(ARS §28-339.K)

- Meets monthly
- Approve
- Deny
- Modify
- Request more information

### Phase 4 - Board Action, continued:

- Board *may*:
  - Determine applicant financial/technical capacity to deliver project
  - Provide preference to applications based on:
    - Percentage of matching monies (\$ USD) provided by the Applicant
    - Extent to which the Applicant will partner with other entities to deliver the Project
    - Other factors as deemed appropriate by the Board for the applicable *federal discretionary grant*. The Board has approved factors which apply across all grants and are incorporated into AZ SMART Priority Criteria.
  - Redistribute funding equally across Funding Categories
  - Close an application round for any Funding Category
  - Approve, deny, modify or request more information on an application

# Awarded Applications

- Within 10 days of award, ADOT will:
  - Send notification of award to all contacts listed in application
  - Sign Acceptance and send copy of entire RFGAA package to applicant
  - Send further instructions as necessary
  - Make Evaluator assessments available for public inspection via public records request
- Obligate AZ SMART funds in state accounting system for the project, along with any applicant funds.
- For ADOT administered projects, ADOT will:
  - Within 30 days of award, invoice applicant for any local funding associated ADOT administered projects
  - Select consultant, contractor, etc. via competitive solicitation or current list of prequalified consultants. Applicant's consultant generally not eligible to continue working on project.
  - For Match awards, work with applicant and federal agency to develop federal grant agreement
  - Request Federal Grant funding be made available by USDOT for road and bridge federal grants and obligate funds. Grants from other federal agencies may require different processing to be determined upon award.

# Awarded Applications

## IMPORTANT!

DOES awardees must be ready to proceed immediately upon award.

### For ADOT administered projects, continued:

- ADOT will:
  - Pay AZ SMART funds directly to consultants/contractors
  - Work with applicant to develop data and information for federal grant reporting
  - Oversee design, construction, clearances, etc. as applicable for the project
  - Release any remaining AZ SMART funding upon completion of final Project accounting back to applicable AZ SMART Funding Category
- Applicant will:
  - Remit any required funds within 30 days of receipt of invoice from ADOT
  - Respond to all request from ADOT within 10 days
  - DOES awardees shall provide proof of submitting a *federal discretionary grant* application within 2 year of award
  - Be responsible for all costs exceeding amount awarded by the Board

# Awarded Applications

## Applicant will, continued:

- Match awardees will:
  - Notify ADOT of the award decision regarding their federal discretionary grant application within 10 days of announcement of awards
  - Provide draft Federal Grant Agreement to ADOT within 10 days of receipt and work with ADOT to finalize it, as necessary.
  - Provide final executed Federal Grant Agreement to ADOT within 10 days of execution.
  - Pay construction administration fees for construction projects administered by ADOT, whether contemplated in the federal grant agreement or requested at a later date.
- GDS awardees will:
  - Procure consultant or grant writer; federal standards are not required for GDS
  - Make payments directly to consultant/grant writer
  - Submit a *federal discretionary grant* application within 6 months of award
  - Submit for Reimbursement for some or all GDS expenditures within 6 months of award

# Denied Applications

**NOTE!**

AZ SMART awards may not be used for any phase other than that identified in the application.

- Within 10 days of award, ADOT will:
  - Send notification of award to all contacts listed in application
  - Make Evaluator assessments available for public inspection via public records request
  - Not retain any data, information or documents
- Applicant may reapply:
  - After addressing any concerns resulting in the denial, and
  - By submit a new application

# Modified Applications

- Within 10 days of the modified award, ADOT will send notification to all contacts listed in application
- Within 5 business days, applicant is required to accept or decline modified award
- If no response within 5 days, application will be bypassed and funds used for next highest ranking application
- If modified award is accepted, see Awarded Applications slides for next steps

# Board Request for More Information

- Quality of application is key to avoiding a request for more information
- Within 10 days of Board's request for further information, ADOT will send email containing list of information or documents requested
- Within 10 business days, applicant is required to requested information
- Board may review and take action on the application at a future meeting
- If no response within 10 days, application will be bypassed and funds used for next highest ranking application

# Federal Grant Applications

- ADOT does not provide grant development, writing or editing services
- ADOT's grant writing contracts are not available to other entities
- Applicants are responsible for developing data, narratives, charts/graphs and all other information for a *federal discretionary grant* application
- If ADOT submission of *federal discretionary grant* application is required or requested:
  - *At least 30 days prior to NOFO deadline*, applicant must submit ADOT Grant Coordination Support Request Form (link in NOFO)
  - *At least 7 days prior to NOFO deadline*, submit all completed application materials
  - Requests received after the required deadlines above may not be accommodated
- Transit and rail grants have further requirements; see RFGAA

**Link to ADOT Grant Coordination Group webpage:**

<https://azdot.gov/planning/adot-grant-coordination-group>

# Priority Criteria

PRIORITY CRITERIA, ORDER OF IMPORTANCE AND SCORES		
Priority Criteria	Evidence or Source	Points
1. Project includes safety improvements		
a. Project addresses more than one of the below	Demonstrated by scope of work provided by the Applicant and based on the definitions in the <a href="#">Strategic Highway Safety Plan</a> ("SHSP")	15
b. Project addresses safety of vulnerable road users		10
c. Project addresses intersection safety		5
d. Project addresses roadway lane departures		5
e. Project address other safety factors		5
f. Project does not address safety improvements		0
2. Evidence of public support for Project		
a. Project is included in the approved regional TIP for the jurisdiction in which the Project is located	Page from regional or tribal TIP	15
b. Project is included in an adopted planning document of the jurisdiction in which the Project is located	Page from General Plan or CIP	10
c. Project has been discussed in public meetings or study sessions	Minutes of meeting/study session	5
d. Project is not in an adopted planning document and has not been discussed in public meetings or study session	NA	0

- 6 criterion total listed in order of importance
- No minimum score required, no good or bad score
- Board may use scores or not at their discretion



# Priority Criteria, cont.

PRIORITY CRITERIA, ORDER OF IMPORTANCE AND SCORES		
Priority Criteria	Evidence or Source	Points
<b>3. Population of city/town or county in which Project is located</b> – Points will be based on the jurisdiction in which the Project is located. If project spans multiple jurisdictions, the one in which the largest percentage of the Project is located will be used.		
<b>a. Projects located in a Municipality of less than 10,000 population</b>		
1) Municipalities 0 to 4,999 population		10
2) Municipalities 5,000 to 9,999 population		5
<b>b. Projects located in a Municipality with population of 10,000 or more</b>		
1) Municipalities 10,000 to 49,999 population		10
2) Municipalities 50,000 and above		5
<b>c. Projects located in a County of less than 100,000 population</b>		
1) Counties under 40,000 population		10
2) Counties 40,001 to 100,000 population		5
<b>d. Projects located in a County with population of 100,000 or more</b>		
1) Counties over 100,000 to 149,999 population		10
2) Counties over 150,000 and above		5
<b>e. ADOT Projects (applies only to ADOT applications)</b>		NA
<b>4. Long-term Impacts</b>		
a. Infrastructure project - Description of life cycle costs is included with application	Identified in application questions	5
b. Non-infrastructure project - Description of long-term impacts is included with application		5
c. Estimate is not included with application		0

## Priority Criteria, cont.

PRIORITY CRITERIA, ORDER OF IMPORTANCE AND SCORES		
<i>Priority Criteria</i>	<i>Evidence or Source</i>	<i>Points</i>
<b>5. The percent (whole numbers only) of cash monies provided by Applicant</b>		
a. 51% to 75% or higher	Calculated based on answer to application questions	3
b. 26% to 50%		2
c. 25% or less		1
d. 0%		0
<b>6. Extent that Applicant will partner with other entities to deliver Project</b>		
a. Five Letters of Support	Based on the number of Letters of Support uploaded with the Application (maximum of 5)	5
b. Four Letters of Support		4
c. Three Letters of Support		3
d. Two Letters of Support		2
e. One Letter of Support		1
f. No Letters of Support		0

**IMPORTANT!**

Read the RFGAA before applying! It is the contract by which any AZ SMART award will be bound and administered.

# Reimbursement

- Reimbursements from AZ SMART:
  - Will be limited to expenditures incurred after September 14, 2024
  - Will not be made without evidence of valid expenditure and proof of payment
  - Will not exceed actual eligible expenses incurred regardless of award amount
  - For Match awards - will be submitted *after* federal agency has reimbursed the federal share
  - Will be made at least quarterly but not more than monthly
  - Require submission of certain documents (discussed in RFGAA)
  - In-kind expenditures:
    - Must be included in project budget submitted with application
    - Must be necessary and reasonable
    - Must be tracked and be verifiable from applicant records
    - Shall not be counted as contributions for any other federal or state award

## Special Terms & Conditions

By applying to AZ SMART, applicants understand and agree to the RFGAA, including all the following provisions further discussed in the RFGAA:

Conflicts of Provisions	Limited Funding	Information to Determine Eligibility	Allowable Project Changes	Application Closure by the Board
Administrative Completeness	Supplanting Committed Funding for Federal Grants	Determination of Eligibility	Federal Grant Agreement Changes	Accuracy of data, information and documents
Funding from another source	Readiness to Proceed	One Project and one Federal Grant	Applicant Names Posted Online	Questions and Answers webpage
Project Development Administration (PDA) Fees	Delay of Awards	Additional applications	Confidential Information	Inspection
Applicant Responsible for All Costs	Right of Way Responsibilities	More than one Eligible Use	Inactive Funding	Tribal Provisions
Award is not a Notice to Proceed	Responsible for Utilities and Railroads	No Other Use Allowed	Applicant participation required	
Project Scope, Schedule, and Budget	Applying for Projects on ADOT routes	Applicant Vendors	Changes or Exceptions	

## XVI. SAMPLE RESOLUTION OF GOVERNING BODY

Applicants may adapt the style of the resolution as desired. However, all information identified in this Sample Resolution shall be addressed in the Applicant's resolution, with the exception of the approval as to form, unless required or desired by the Applicant. The resolution shall be passed by the Applicant's governing body, executed and submitted with the Application. An Application that does not include a duly approved and executed resolution is not Administratively Complete and will not be further reviewed or considered.

*The highlighted fields reflect information to be provided by, or made specific to, the Applicant and Project.*

RESOLUTION NO. [REDACTED]

A RESOLUTION OF THE [TITLE OF GOVERNING BODY] OF [political subdivision, special district, Indian tribe, COG or MPO or other Eligible Applicant ], [REDACTED] COUNTY, ARIZONA, AUTHORIZING AN APPLICATION TO THE ARIZONA SMART FUND FOR A GRANT FOR [DESIGN AND OTHER ENGINEERING SERVICES/MATCH/GRANT DEVELOPMENT AND SUBMISSION] PURSUANT TO TITLE 28, CHAPTER 2, ARTICLE 2, ARIZONA REVISED STATUTES.

WHEREAS, in Chapter 322 of the Laws of 2022 ("the Act"), the Arizona Legislature established the AZ SMART Fund and program, and authorized the State Transportation Board, among other things, to award grants to Eligible Applicants for design and other engineering services ("DOES"), grant development and submission ("GDS"), and Match for a surface transportation project for which the Applicant will submit a Federal Grant application;

WHEREAS, ARS §28-399.Q.1 as amended in Chapter 120 of the Laws of 2024 defines "Federal grant" to mean a federal discretionary grant program administered by any federal agency for surface transportation purposes;

WHEREAS, the AZ SMART Fund Request for Grant Applications and Agreement ("RFGAA") defines "surface transportation purposes to mean a road, bridge, transit or rail infrastructure project, study or plan document that is eligible for a Federal Grant;

WHEREAS, Applicants for AZ SMART Fund must apply in accordance with the requirements of the Act and the RFGAA;

WHEREAS, the [Name of applicant] has determined that it will apply to AZ SMART for [DOES, GDS and/or match] for [brief description of infrastructure project, study or plan] ("Project");

WHEREAS, the [Name of applicant] desires to submit the Project for the federal discretionary grant identified in the RFGAA;

WHEREAS, the RFGAA requires that applications include a resolution from the governing body of the Applicant stating the Project is in the best interests of the residents of the municipality or county in which the Project is or will be located and requires the resolution to state the commitment

# Sample Resolution of Governing Body

- Must be approved, signed and submitted with the AZ SMART application
- Style can be adapted
- All information needs to be included
- Approval as to form by counsel is at applicant's discretion

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

Please read the Request for Grant Applications and Agreement ("RFGAA") before starting this Application. The Application must be completed in a single sitting; the RFGAA contains a PDF version of this application to assist in developing the required responses, information and documents. The Application Instructions provide additional information and guidance, and should be consulted in completing the Application. To ensure the Application is Administratively Complete and will be presented to PPAC and the Board, please respond to all questions and submit all requested documents.

Each application may address only one Project and one Federal Grant. Additional Projects and/or Federal Grants require a separate application.

**Required Documents:** Consult the Application Checklist in the RFGAA to identify the documents required to be uploaded while completing this application. The documents should be assembled in advance of completing this application.

**Non-governmental entities:** Clearly identify any trade secrets or other proprietary information which is to remain confidential. Stamp or mark the pages/information with "**CONFIDENTIAL**" in bold capital letters.

\* Indicates required question.

1. Email \*

## Applicant Information

Please answer all of the questions below.

2. Name of Applicant \*

**NOTE:** Provide the full legal name of the Applicant. This must be the entity that has provided the governing body resolution, is entering into this Request for Grant Application and Agreement, is financially responsible for the Project, and will be applying for the Federal Grant identified in this application. AZ SMART awards are specific to the Applicant and may not be transferred from one entity to another without further governing body and State Transportation Board approval.

# Application and Instructions

- Sample application provided to help applicants develop responses before completing the live application
- Live application must be completed in a single sitting
- Do not ignore the Application Instructions - they contain important guidance on completing the application, including:
  - Preparing estimates in the ADOT Cost Estimate Tool
  - Document Checklist
  - Guidance on Year of Expenditure
  - Accessing ADOT's historical bid unit price data for actual federal aid projects

Figure 6 – Applicant Checklist

Required Document	<input checked="" type="checkbox"/>
<b>All Applicants:</b>	
Application (completed and submitted online)	
Signed Offer	
Delegation for Authorized Representative (if not contained in Governing Body resolution)	
COG/MPO approval letter	
Project map	
Project budget	
Signed Governing Body Resolution	
Links to planning document(s), as applicable	
Applicable procurement contracts/solicitations, as requested	
Letters of Support (maximum of 5 letters)	
<b>Non-governmental Entities only:</b>	
Legal organizing documents	
Links to required financial data and documents	
IRS Determination Letter (non-profits only)	

Figure 8 – Examples of Percentage Guidance in ADOT Cost Estimate Tool

## DESIGN COSTS

Note: The use of federal funds for design Stage III (60%) without environmental a

PS&E's - Plans, Special Provisions, Cost Estimates & Schedules (10%-20% of construction cost.)  
(Shall be refunded if project is not constructed)

GEOTECHNICAL INVESTIGATION (If a report is necessary, anticipate 5% of construction cost)  
Includes testing, Geotech Report, Materials & Pavement Design Report) Enter \$0 in Unit Price column if none required.

DRAINAGE REPORT (if a report is necessary)



# Other Sections of RFGAA

Standard Terms and Conditions
Offer and Acceptance
Definitions and Abbreviations
Project Naming Guidance
ARS §28-339, AZ SMART Law
Arizona Constitution, Article 9, Section 7
State Transportation Board Policy 45
AZ SMART Payment Progress Form

- These sections are not discussed in this presentation but are part of the contract you will be entering into - **please be sure to read them in the RFGAA!**

## AZ SMART website -

<https://azdot.gov/planning/grant-coordination/az-smart-fund>

# AZ State Match Advantage for Rural Transportation (SMART) Fund

## About the Program

The AZ SMART Fund was established by the Arizona Legislature in 2022 to assist eligible cities, towns, counties and the Arizona Department of Transportation (ADOT) in competing for federal discretionary surface transportation grants.

Projects eligible for AZ SMART are surface transportation projects including road, bridge, transit, rail, and related facilities such as bicycle and pedestrian paths, trails, etc., which are eligible for the Federal Grant identified in the AZ SMART application. This is not an exhaustive list of eligible Projects and Applicants should consult the federal statutes establishing the applicable Federal Grant or the NOFO or NOFA for additional, eligible surface transportation project types.

The Fund is administered by ADOT, and all awards must be approved by the State Transportation Board (STB). The AZ SMART monies are allocated to certain categories of eligible applicants. [See current funding and awarded applications here.](#) This information is updated after each STB meeting.

In 2024, the Legislature amended the program in House Bill 2318, which became effective on September 14, 2024. The State Transportation Board approved the Request For Grant Application and Agreement (REGAA) at the State Transportation Board Meeting

**AZ SMART Request For Grant  
Applications and Agreement** >

**AZ SMART Questions and  
Answers** >

**AZ SMART Fund Resources** >

**Federal Discretionary Grant  
Programs** >



# AZ SMART Request for Grant Applications and Agreement webpage

[Request for Grant Applications and Agreement \(RFGAA\)](#) - Individual sections have been broken out below for the purpose of convenience. All AZ SMART awards will be governed by the full RFGAA and any documents incorporated therein and not the individual sections shown below.

**Live Application** - Google form; must be completed in a single sitting.

**Pre-application conference materials:**

- 11/14/24 Webinar recording
- 11/14/24 Webinar Slides

**RFGAA Sections** - the individual sections below are for convenience only. They should not be used to manage an approved AZ SMART award as additional documents not included here will be incorporated into the final RFGAA. All AZ SMART awards will be governed by the full RFGAA, as countersigned and sent to the awardee by ADOT, and any documents incorporated therein.

[I. INTRODUCTION](#)

[II. SPECIFICATIONS](#)



## AZ SMART Questions and Answers webpage

- Dated PDF contains responses to all questions received and clarifications, revisions, etc. to RFGAA
- Authorized Representative must certify the most recent document has been reviewed when signing Offer

Questions and Answers will be posted and updated periodically on this webpage, with the most current version shown first. The current version includes all previous versions.

Applicants are responsible for reviewing the current version of this information before applying. **The Authorized Representative is required to certify that he/she has read and understands the RFGAA AND the Questions and Answers in the application and when signing the Offer.** Based on the date of the application, the version of Questions and Answers in effect on that date will be incorporated into the RFGAA.

Questions are continuously accepted by emailing them to [azsmart@adot.gov](mailto:azsmart@adot.gov).

- [11/18/24 Questions and Answers](#) - Excel file will automatically download when link is clicked.

## AZ SMART Fund Resources webpage

### IMPORTANT!

Infrastructure  
Project Budgets  
must be submitted  
using the ADOT  
Cost Estimate Tool.


- [ADOT Cost Estimate Tool](#) - Excel file will automatically download when link is clicked. This Tool is required to be used to prepare infrastructure project budgets. Non-infrastructure projects may use a different format but it must be itemized. Lump sum budgets will not be accepted. The ADOT Cost Estimate Tool does not purport to include all possible costs or scenarios, and Applicants are responsible for developing their own cost estimates. Questions or comments regarding the ADOT Cost Estimate Tool Should be directed to [azsmart@adot.gov](mailto:azsmart@adot.gov).
- [AZ SMART Eligibility by Population](#) - Excel file will automatically download when link is clicked. This file contains population information for cities, towns and counties used by the AZ SMART program pursuant to state law. It also identifies those applicants eligible to request Grant development and Submission (GDS) funding, which reimburses up to 50% of the cost incurred to prepare and submit a federal discretionary grant application.
- State Transportation Board Policy #45, AZ SMART Fund - See the [RFGAA](#) for this information.
- Current AZ SMART Law - See the [RFGAA](#) for this information.
- [Priority Planning Advisory Committee \(PPAC\)](#)
- [State Transportation Board](#)
- [US Department of Transportation Discretionary Grants Dashboard](#)
- [Bipartisan Infrastructure Law](#)

## AZ SMART Federal Discretionary Grant Programs webpage

### IMPORTANT!

Don't wait for a NOFO - the 2024 changes to AZ SMART allow eligibility to be determined based either on the NOFO or the *federal statutes establishing the grant*.

**Identify target grants now, especially if applying for DOES.** AZ SMART has prepared statutory excerpts for you on the Federal Discretionary Grant Programs webpage.




The following links contain excerpts from federal statutes and the Bipartisan Infrastructure Law for numerous federal discretionary grant programs. This information is provided as a courtesy only to assist Applicants in identifying federal discretionary grant opportunities under which their project may be eligible, and to help Applicants understand the goals, criterion, and other aspects of federal discretionary grants.

Applicants may also wish to view the [US Department of Transportation Discretionary Grant Dashboard](#) to search for grant opportunities.

This page does not purport to include all federal discretionary grants which may be eligible for the AZ SMART Fund. Applicants are responsible for conducting their own federal discretionary grant research.

Download:

25005 Strengthening Mobility and Revolutionizing Transportation Grant Program 

24112 Safe Streets and Roads for All 

21205 Rural and Tribal Infrastructure Advancement 

13001 Strategic Innovation for Revenue Collection 

# Questions

- Questions immediately answerable from RFGAA may receive a live response today.
- Questions not immediately answerable from RFGAA will not receive a live response, but will be posted on the Questions and Answers webpage as soon as possible. This is the only official source of information regarding such information.
- All questions, requests for clarifications, etc. must be submitted by email to [azsmart@azdot.gov](mailto:azsmart@azdot.gov).

These slides and the recording of this presentation will be posted on the Question and Answers webpage in the coming days.

Thank you very much for your time and interest!