

X. DEFINITIONS AND ABBREVIATIONS

“Administratively complete” means an Applicant has completed the Application and provided all of the data, information and documents required by the Application and the Board, or that staff determines is applicable. Examples include responses to all questions, duly approved and signed governing body resolution, B/C analysis, map, scope, schedule, budget cost estimate(s), signed offer and any other information or documentation required by the Application or requested by ADOT staff.

“ADOT” means the Arizona Department of Transportation.

“Applicant” means the entity applying for the AZ SMART Fund. Applicants are either Governmental Entities or Non-governmental Entities.

“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. The Application is part of this RFGAA.

“ARS” means Arizona Revised Statutes.

“Authorized Representative” means the person authorized by the Applicant governing body to sign the Offer in this RFGAA and commit the Applicant in a contractual relationship. This individual must have the legal authority to sign binding contracts, including this RFGAA, on behalf of the Applicant.

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

“Board” means the State Transportation Board.

“Change in Scope” means changes to the extent the Project no longer addresses the Purpose and Need identified in the Application.

“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 ARS §28-339.

“Congressionally Directed Spending” or **“CDS”** means funding requested by a Member of Congress designating an amount of funds to a particular recipient for a specific Project. Member requests directed funds for specific Projects that generally would otherwise have been left to the federal agencies’ discretion.³ A CDS award does not fulfill the requirement to submit a Federal Grant application.

“Council of Governments” or **“COG”** means a cooperative regional transportation planning organization established pursuant to Arizona Executive Order 70-2 and 23 USC §135(m).

“Courtesy Technical Review” means a high-level review of a Project’s scope, schedule and budget to identify areas of concern. The goal of the courtesy technical review is to assist Applicants in preparing realistic project scopes, schedules and budgets. The review does not purport to cover all scenarios and does not constitute approval or endorsement by ADOT of the

³ *Tracking the Funds*, US Government Accountability Office, <https://www.gao.gov/tracking-funds#paragraph-28406>

Project or its scope, schedule and budget, and does not guarantee the Applicant will receive an award from the Board. Applicants are solely responsible for developing a Project's scope, schedule and budget and neither ADOT nor the Board will bear any responsibility if the Courtesy Technical Review does not provide sufficient or complete information.

“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, including the development of scope, schedule and budget information required in the AZ SMART application. The Federal Grant application for construction of the Project must be submitted within 2 years of the Date of Award of AZ SMART Funds for DOES.

“Date of Award” means the date on which the Board approved, denied or modified an Application.

“Direct Recipient” means an Applicant that applies and receives a Federal Grant award directly from a federal agency. Direct Recipient Projects are typically administered by the awarding federal agency. Direct Recipients are generally responsible for all federal requirements related to procurement, clearances, reporting, paying invoices up front and requesting reimbursement for those payments from the awarding federal agency and AZ SMART, and all other aspects of a federal discretionary grant project.

“Eligible Expenditures” for DOES and Match means expenditures incurred and paid after September 14, 2024 which meet Federal Standards as defined in this RFGAA, are necessary for the Project, and are eligible under the Federal Grant. Eligible Expenditures for GDS are those incurred and paid after September 14, 2024 which are necessary for the Project. All expenditures require proof of payment.

“Evaluators” means at least three individuals who are peers or other qualified individuals pursuant to ARS §41-2702.F.

“Federal Grant” means a federal discretionary grant program administered by any federal agency for surface transportation purposes, the awards of which are:

- Made at the discretion of the federal agency;
- Not funded or distributed by formula or allocation; and
- Not directed by Congress or other appropriating body.

“Federal Grant Agreement” means an agreement between the Applicant, or ADOT on the Applicant's behalf, and the federal agency awarding a Federal Grant.

“Federal Standards” means expenditures were incurred through a procurement which includes applicable provisions as follows. This is not a complete list and other provisions may be required.

- *Road and Bridge **engineering, design and related services***: Part 172 — Procurement, Management, and Administration of Engineering And Design Related Services. Provisions begin on page 20 at <https://www.govinfo.gov/content/pkg/FR-2015-05-22/pdf/2015-12024.pdf>.
- *Road or Bridge **Construction** projects*: [Contract Provisions for Federal-aid Construction and Service Contracts Required by FHWA and Other Agencies](#).
- *Transit projects*: Federally required clauses and certifications are available on the National Transit Assistance Program website at <https://www.nationalrtap.org/Technology-Tools/ProcurementPRO>. Registration may be required.
- *Rail projects*: [General Terms and Conditions](#). Other requirements may apply – Applicants should contact the Federal Rail Administration (“FRA”) Grant Office for further guidance.

“Funding Authorization” means the submission of required documentation to either ADOT or the federal agency awarding a Federal Grant and obligation of awarded AZ SMART or Federal Grant funding in the applicable financial system.

“Funding Category” means the five categories to which ADOT is required to suballocate monies in the AZ SMART Fund pursuant to ARS §28-339.F.

“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.

“Governmental Entities” or **“Governmental Entity”** means an Arizona city, town, county, political subdivision, ADOT, or a Tribal Nation located in Arizona.

“Legislative Appropriation” means funding requested by a Member of the Arizona Legislature designating an amount of funds to a particular recipient for a specific Project.

“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.

“Metropolitan Planning Organization” or **“MPO”** means a planning organization established pursuant to 23 USC §134(d).

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

“Non-governmental Entities” or **“Non-governmental Entity”** means individuals, associations, clubs, corporations, any other private entity, or any organizations which are not Governmental Entities.

“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 the State accounting system. Obligated funding may not be transferred to another Project.

“Party” means ADOT or the Applicant entering into this RFGAA.

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“PDA” means Project Development Administration.

“PPAC” means the Priority Planning Advisory Committee established pursuant to ARS §28-6951.

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

“Quick Ratio” applies only to Non-governmental entities and means the ratio resulting from the following calculation: Quick Ratio = *Current liabilities / (Current assets – inventory – prepaid expenses)*. The Quick Ratio The ratio is calculated by ADOT staff using financial information provided by the Applicant and is provided to the Board to assist in the determination of financial capacity should the Board wish to consider this information in making awards.

“Ready to Proceed” or “Readiness to Proceed” means:

- Prior to PPAC and Board consideration – The Application is Administratively Complete, the Courtesy Technical Review has been completed, the Applicant has revised the Application as needed, all contractual issues have been resolved and the Application has been scored and ranked by the Evaluators. Upon completion of these steps, the Application is considered “Ready to Proceed” to PPAC and the Board for consideration.
- After Board approval – Applicants must be ready to proceed with the Eligible Use(s) immediately upon Board approval, particularly those awarded DOES funding. Neither ADOT nor the Board will bear any responsibility if an Applicant fails to meet a deadline due to not being ready to proceed with the Eligible Use(s) for which the funding is awarded.

“Review Recap” means the document prepared by ADOT after the Application and Courtesy Technical Review which includes questions, observations, directions or further information which may require response from, or action by, the Applicant.

“RFGAA” means this Request for Grant Applications and Agreement, all of the documents included or referenced, the completed Application and any fully executed amendments to this RFGAA.