

## XVIII. APPLICATION INSTRUCTIONS

### A. Prepare before applying for AZ SMART

The AZ SMART program is open to a wide variety of applicants, projects and Federal Grants, resulting in greater competition for available funding. Well-developed Applications will require less review and can proceed more quickly through evaluation and to PPAC and the Board for approval (see the [Application, Review and Approval process](#)). Before applying, Applicants are *strongly* encouraged to:

1. **Read the PDF sample application, these Application Instructions and the Questions and Answers page on the [AZ SMART website](#).**

These Application Instructions contain detailed information to assist Applicants in developing responses for, and assembling documents required to be submitted with, the Application. In addition, the Questions and Answers page is the only official source of information regarding any updates, clarifications or changes to, and will be incorporated into, the RFGAA. The Authorized Representative is required to certify in the Offer and Acceptance that he/she has read and understood the RFGAA and the Questions and Answers page on the [AZ SMART website](#).

2. **Prepare and Assemble Required Documents**

Before submitting the AZ SMART application, please ensure all the items and documents listed in Figure 6 below have been completed or uploaded, as applicable. Application missing information or documents will not be Administratively Complete and will not be further reviewed or considered. ADOT may also request additional documents or information beyond the items listed below.

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	
Scoping Letter or Project Assessment, as applicable	
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)	

### 3. Submit Application Online

Applications shall be submitted online on the [AZ SMART website](#). Emailed, hand-delivered or mailed applications will not be accepted. Applications must be completed and submitted in a single sitting. The [Application Checklist](#) is provided to assist Applicants in meeting this requirement. Incomplete or unsubmitted applications will not be considered. Documents from previously submitted applications will not be transferred to a new application.

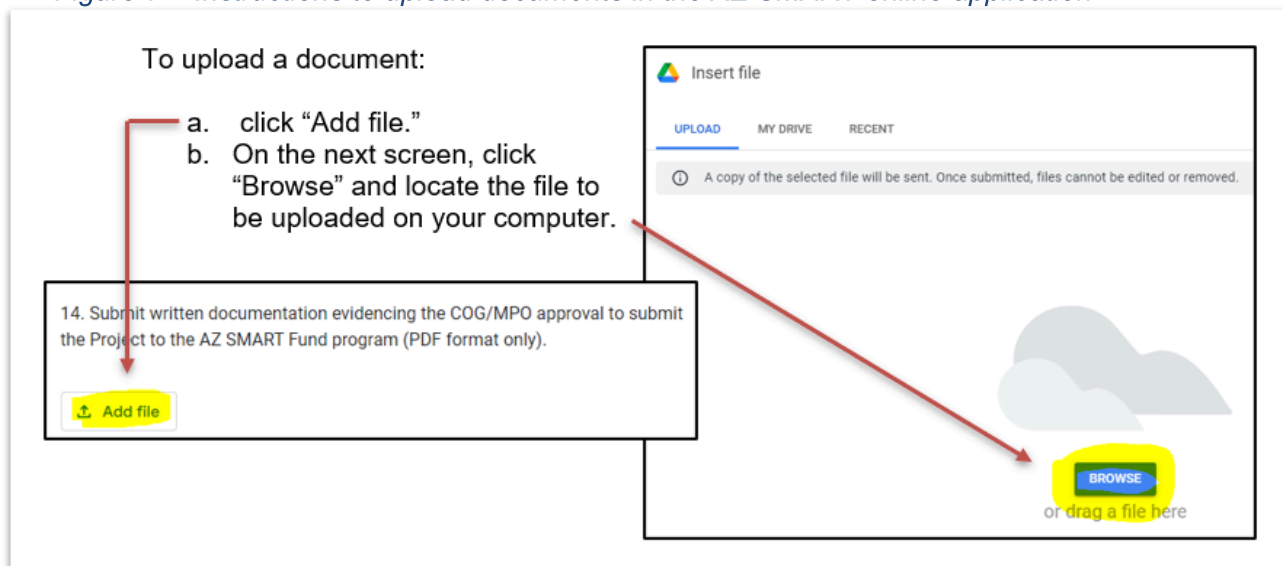
### 4. Provide a Response for Every Question

Unless otherwise noted, a response is required for every question. Questions in the Application may include notes, character limitations or other related details. Please consult the Application Instructions in completing the Application. Failure to provide the requested information will result in an incomplete application which will not be reviewed, retained or considered.

### 5. Uploading Documents in the Online Application

The Application requires several documents to be uploaded, such as the COG/MPO approval letter, governing body resolution, etc. See the instructions in Figure 7 below.

*Figure 7 – Instructions to upload documents in the AZ SMART online application*



### 6. Financial and Corporate Information

All Applicants are required to provide additional information and documents to support the Application. These include but are not limited to the list below. ADOT staff may request further data and information as needed to process the Application.

- Legal organizing documents such as Articles of Incorporation.
- IRS Determination letters for non-profit corporations.
- Audited financial statements for the past 3 years

## B. Application Questions and Instructions

### 1. Application Introduction

Please read this section and the Application Checklist before beginning the application.

### 2. Applicant Information Section

Applicants shall provide contact names and information for the following:

- a. **Applicant Name** – Provide the full legal name of the Applicant. This should 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. The AZ SMART award is specific to the Applicant and may not be transferred to another entity without further governing body and Board approval.
- b. **Applicant Type** – Municipality (a city or town), County, MPO, Tribal Nation, or Non-governmental entity. Non-governmental entities will be required to provide legal organization documents later in the Application.
- c. **Applicable COG/MPO** – Select the COG or MPO in which the Project is located. If the Project crosses COG or MPO boundaries, select the one in which the greatest percentage of the Project is located. This should be the same as the COG/MPO providing the required approval letter.
- d. **Has the Applicant received a Federal Discretionary Grant since January 1, 2023?** Identify the name of the Federal Grant and the project for which it was received or enter "NA." Do not include **Congressionally Directed Spending** (federal earmarks) or formula federal aid such as Highway Safety Improvement Program (HSIP), Transportation Alternatives (TA), Surface Transportation Block Grant Program (STBGP), Off System Bridge (OSB), etc. Limited to 500 characters, including punctuation and spaces.
- e. **Has Applicant sponsored a Project funded with formula federal aid since January 1, 2023?** Please identify the type of funding and project(s) below or enter "NA." Do not include Congressionally Directed Spending (federal earmarks) or Federal Grants. Limited to 500 characters, including punctuation and spaces.
- f. **Provide links to Applicant's financial statements for the previous 3 years.** Data from the financial statements will be used to calculate the **Quick Ratio** for Applicants requesting approval from ADOT to self-administer design and those intending to be Direct Recipients for Federal Grants. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.

- g. **Non-governmental entities only - Upload the entity's legal organizing documents, such as Articles of Incorporation.** Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered. Limited to 1 PDF file; 1 GB maximum
- h. **Non-governmental entities only – If a non-profit, upload the entity's IRS Determination letter.** Determination Letters may be available online at the [IRS website](#). Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered. Limited to 1 PDF file; 1 GB maximum

### 3. Applicant Contacts Section

- a. **Authorized Representative Name and Title** – This individual must have the legal authority to sign binding contracts, including this RFGAA, on behalf of the Applicant entity.
- b. **Authorized Representative 10-digit office phone number**, including area code and extension, if any.
- c. **Authorized Representative work email address.**
- d. **Authorized Representative Certification** – By checking the box, the Authorized Representative certifies they have read and understand the RFGAA *and* the Questions and Answers page on the [AZ SMART website](#). The Questions and Answers page is the only official source of updates, clarifications and revisions to the RFGAA and will be incorporated into the RFGAA.
- e. **Project Administration Contact Name and Title** - This is the Applicant's Project Manager or individual who will work with ADOT on study, design, or construction of the Project identified in this RFGAA.
- f. **Project Administration Contact's 10-digit office phone number**, including area code and extension, if any.
- g. **Project Administration Contact's work email address.**
- h. **Agreement Administration Contact Name and Title** - This individual is the individual ADOT will contact regarding contractual matters related to this RFGAA.
- i. **Agreement Administration Contact's 10-digit office phone number**, including area code and extension, if any.
- j. **Agreement Administration Contact's work email address.**
- k. **Finance Administration Contact Name and Title** - This individual is the individual ADOT will contact regarding financial matters related to this RFGAA or the Project.
- l. **Finance Administration Contact's 10-digit office phone number**, including area code and extension, if any.
- m. **Finance Administration Contact's work email address.**

- n. **Consultant Name, Title and Company** – Provide if a consultant is completing the Application on behalf of the Applicant. If not applicable, enter NA.
- o. **Consultant 10-digit office phone number, including area code and extension**, if any. If not applicable, enter NA.
- p. **Consultant work email address**. If not applicable, enter NA.

#### 4. **Project Details Section**

Applicants shall provide the following information:

- a. **Enter the name of street, route, area, etc. Include beginning and ending termini or other limits.** Use the FHWA Project Naming Guidance in this RFGAA. Limited to 250 characters, including spaces and punctuation.
- b. **For road or bridge Projects, select the Functional Classification of street or route. Select "NA" for other projects.** For assistance in determining the Functional Classification, see the [ADOT Functional Classification](#) map.
- c. **Project Type** – select road, bridge, transit, rail, multimodal, bike/pedestrian, plan/study/etc. If the desired project type is not listed, select Other and provide a brief description. Please note AZ SMART will only fund road, bridge, transit or rail components of a multimodal project. The application should address only those eligible components.
- d. **Project Location** – select the city/town or county in which the Project is located. If the Project crosses one or more jurisdictional boundaries, select the jurisdiction in which the greatest percentage of the Project is located. The option for ADOT system is applicable only to ADOT applications and should not be used by other applicants.
- e. **Project Map** – upload a PDF map showing the location of the Project or the area to be studied if the AZ SMART request is related to a Federal Grant for which studies, planning and other non-infrastructure activities are eligible activities. Limited to 1 PDF file; 10 MB maximum
- f. **Upload COG/MPO approval letter** – if the Project crosses COG/MPO boundaries, the letter shall be from the COG/MPO in which the greatest percentage of the Project is located. Limited to 1 PDF file; 1 MB maximum

- g. **Evidence of public support** — multiple choice; identify the document(s) which include(s) the Project and select all that apply. This information will be used to determine the score for the Evidence of public support Priority Criterion, with options a. and b. providing the highest possible points. Only the highest ranking option will be used for scoring purposes. Options include:
- 1) A current, approved Regional or Tribal Transportation Improvement Program,
  - 2) The current ADOT 5-yr Program,
  - 3) Current Municipal or County General Plan, Capital Improvement Program or other current, publicly adopted capital plan,
  - 4) Minutes of a public meeting or study session within the last 12 months of the jurisdiction(s) in which Project is located, and
  - 5) None of the above.
- h. **Provide a link to each document identified in previous question and identify the page number on which the project is listed.** For each document identified, provide the website link and page number(s) on which Project is listed.
- i. **Upload the required governing body resolution** – a sample Resolution is provided in this RFGAA. The resolution must be duly approved and executed. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered. Limited to 1 PDF file; 1 MB maximum
- j. **Project Purpose – what is the problem this project will address? This is one of the most important elements of the Application.** Each application shall identify the purpose of the Project, including the problem it will address. Information should be as succinct and objective as possible and limited to 1000 characters, including punctuation and spaces. See FHWA [Purpose, Need and Alternatives](#) for further information and guidance.
- k. **Project Need – discuss the data substantiating the problem. This is one of the most important elements of the Application.** Each application shall identify the need for the Project, including the data substantiating the problem. Information should be as succinct and objective as possible and limited to 1000 characters, including punctuation and spaces. Do not restate information provided in the Project Purpose or Scope. See FHWA's [Purpose, Need and Alternatives](#) for further information and guidance.
- l. **Safety Improvements – what safety improvements are addressed by the Project?** Check all that apply. Specific safety improvements should also be identified in the Project Scope. If the Project addresses a safety improvement not listed below, select Other and identify the improvement. Examples of improvements are contained in the [Strategic Highway Safety Plan](#). Information provided here will be used to determine the score for the *Project includes Safety Improvements* Priority Criterion. Options include:
- 1) Safety for non-motorized users
  - 2) Intersection safety
  - 3) Roadway lane departures
  - 4) Project does not address safety improvements
  - 5) Other – please briefly describe the safety improvement addressed by the Project

- m. **Upload the Scoping Letter or Project Assessment, if any.** Limited to a single PDF file of up to 100 MB.
- n. **Project Scope – This is one of the most important elements of the Application.** Each application shall identify a scope of work for the Project including safety improvements, limited to 2000 characters, including punctuation and spaces. Do not restate information provided in the Project Purpose or Need. The [ADOT Local Public Agency office webpage](#) includes the following tools to assist Applicants to prepare scoping information for the Application. These tools are provided by ADOT as a courtesy only and do not purport to cover all possible scenarios. Applicants are solely responsible for the scoping information submitted with the Application.

The development of Project scope, schedule and budget for the AZ SMART application is an eligible expense to be reimbursed from a DOES award *as long as it is included in the project budget submitted with this application and the services were procured under a solicitation that meets Federal Standards*. Applicants are required to provide the contract or solicitation to demonstrate reimbursement eligibility.

- [Project Scoping Document Guidelines](#) – see Section 2.3.C., Project Scope, beginning on page 6.
- Download a Sample Scoping Document [here](#) (under Scoping Guidelines) – all items in this document are requested in the AZ SMART application. Applicants should prepare responses for each item prior to beginning application submission.

The scope might include information such as the following, as applicable and if known:

- 1) A description of the proposed road or highway cross section - number of lanes, lane widths, median width, shoulder widths, etc.
- 2) A description of the proposed paving improvement shall be included, if known, such as mill and replace; overlay; seal & crack/overlay; the type of the surface course; the type of base and sub-base courses; the type of surface treatments; and the type of any special shoulder construction.
- 3) The type of striping and pavement markers proposed shall be identified, if known.
- 4) Any proposed signing improvements, whether new or replacement.
- 5) A description of any proposed detours, or temporary transitions to adjacent projects, if known.
- 6) A description of Right of Way and Utility requirements, acquisitions, or relocations.
- 7) Any proposed new or reconstructed drainage and irrigation facilities (culverts, bridges, storm drains, ditches, bank treatments, scour protection, etc.). If a drainage study is needed to develop the drainage concept for a Project, this fact shall be noted, and the reasons for the study.
- 8) A description of the type and quantity of earthwork required for the Project, if known.
- 9) All proposed safety improvements (elimination/reconstruction of guardrail, slope flattening, culvert extensions, bridge rail replacement, hazard removal, etc.). See the [Strategic Highway Safety Plan](#).
- 10) Any proposed intersection improvements (signalization, signal reconstruction, phasing, controls, etc.).



- 11) Any proposed geometric improvements (curve reconstruction, widening, realignment, etc.).
- 12) Other specified work, as necessary.
- o. **Briefly summarize the physical/natural environment, socioeconomic and cultural impacts of the project.** Do not repeat information provided in the Project Purpose, Need or Scope. Limited to 1,500 characters including spaces and punctuation.
- p. **Is the Project contained entirely within the Applicant's Right of Way?** Options include the following – infrastructure projects shall select either option 2 or 3:
- 1) Not applicable (non-infrastructure projects only) – select this option if the Project is a study, training, plan, etc. Do not use this option for scoping for an infrastructure project.
  - 2) Yes – select this option only if the Applicant owns all the Right of Way involved and there are no known issues related to Right of Way clearance.
  - 3) No – this option will require a response to be provided in the next question
- q. **If Project involves Right of Way owned by others, identify the owners, status of approvals from each owner and any known issues.** Skip if not applicable. It is the Applicant's responsibility to determine this information before applying for AZ SMART. Limited or incomplete information will delay further processing of the Application
- r. **If Project is located within 1/2 mile of a railroad, identify the railroad, railroad company and discuss the anticipated impacts. If none, enter "None".** Limit response to 1,000 characters, including spaces and punctuation.
- s. **If Project will impact any utilities, identify the utility owner and discuss the anticipated impacts. If none, enter "None".** Limit response to 1,000 characters, including spaces and punctuation.
- t. **If Project will impact any irrigation facilities, identify the facility owner and discuss the anticipated impacts. If none, enter "None".** Limit response to 1,000 characters, including spaces and punctuation.



- u. **Project Schedule** – Check only one box in each row to indicate the current status of each phase. Non-infrastructure projects - check the boxes under Not Applicable for each row.

Project Schedule - check only one box in each row to indicate the current status of each phase. Non-infrastructure projects - check the boxes under Not Applicable for each row. \*

	Not started	In progress	Completed	Not Applicable
Scoping	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Design/Final Design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Right of Way	<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"/>

Check ONLY ONE BOX in each row.

- v. **Enter the estimated cost of construction for the Project. Use whole dollars.** For non-infrastructure projects, enter “NA”. The amount entered should match the amount in the Project Budget.
- w. **Project Budget** – **This is one of the most important elements of the Application.** Limited to 1 Excel/Google Sheets file; 10 MB maximum. The development of Project scope, schedule and budget for the AZ SMART application is an eligible expense for DOES as long as it is included in the project budget submitted with this application and the services to develop the information were procured under a solicitation that meets Federal Standards.

Applicants are advised to read the ADOT Cost Estimate Tool carefully, *particularly the guidance regarding percentages throughout the Tool* (see examples highlighted in Figure 8 to the right). This guidance is provided to help Applicants develop realistic budgets for DOES and match.

Applicants shall prepare and upload a cost estimate as follows:

- 1) Infrastructure projects:
  - a) Road, bridge, rail, and transit must be estimated using the ADOT Cost Estimate Tool, located on the [AZ SMART Resources webpage](#).
  - b) For multimodal projects, estimate only *road, bridge, transit or rail infrastructure components* using the ADOT Cost Estimate

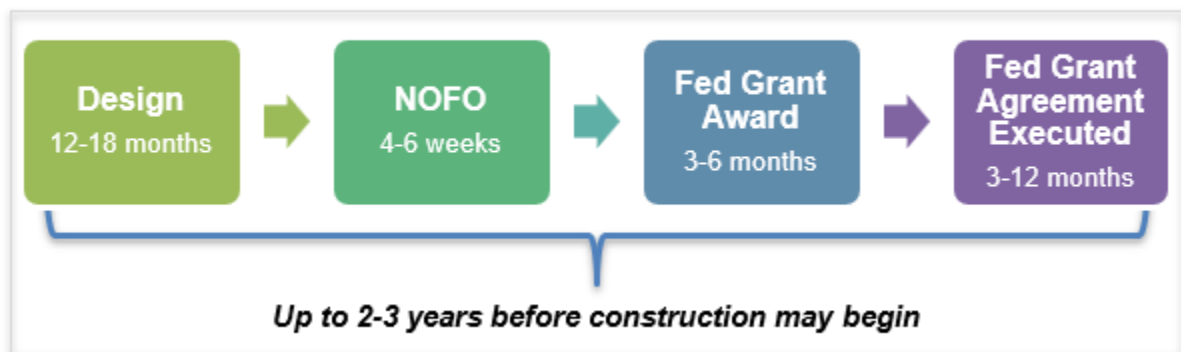
Figure 8 – Examples of Percentage Guidance in ADOT Cost Estimate Tool

<b>DESIGN COSTS</b>
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, anticipate 5% of construction cost) Enter \$0 in Unit Price column if none required)
STORM WATER POLLUTION PREVENTION PLAN (Required if there is over 1 acre of total disturbance, 1% of construction cost) Enter \$0 in Unit Price column if none required.

Tool. Work related to other modes is not eligible for AZ SMART.

- 2) Non-infrastructure projects: cost estimates may use another applicable format but should be broken out by component. Lump sum budgets will not be accepted.
- 3) Cost estimates shall be to Federal Standards and reflect the associated cost impacts, be comprehensive, up to date, and include appropriate contingencies.
- 4) Cost estimates shall reflect Year of Expenditure ("YOE") dollars. The ADOT Cost Estimate Tool includes a YOE calculator on the Itemized cost estimate tab. In considering YOE, Applicants should be aware of the following estimated timeframes from award of AZ SMART funds for DOES through execution of a federal grant (see Figure 9 below) as they may impact the year in which a project may reasonably begin, and therefore, YOE calculations.
  - Design to federal standards takes approximately 12-18 months.
  - The average application period for most NOFOs/NOFAs is approximately 4-6 weeks.
  - Federal agency time to review and award grants varies widely but is estimated at approximately 3-6 months.
  - Time required to receive, negotiate and execute a Federal Grant Agreement is estimated at approximately 3-6 months for planning grants and up to 1 year for construction grants.

*Figure 9 – Design through Federal Grant Execution*



- x. **How were the cost estimates in the Project Budget developed?** Select one of the following:
  - 1) Developed by the Applicant.
  - 2) Developed by an engineering consultant.
  - 3) Other – please provide a brief explanation.
- y. **Are the costs in Project Budget estimated based on Federal Standards as defined in the RFGAA?** A response is required for all DOES and Match applications. Select yes or no. Applications for GDS only should select "Not applicable."

Only expenditures developed to Federal Standards may be reimbursed by DOES

and Match awards. Applicants are strongly urged to review Federal Standards as defined in the RFGAA. Applicants may also review ADOT's [Estimated Engineering Construction Cost \("E2C2"\) database](#), which provides historical bid unit price data for actual federal aid projects and is periodically updated. The Bid History information displayed is not intended to be a recommended unit price. Other resources may be required in determining accurate unit prices for the Project.

- z. **Does the Project Budget reflect costs on a YOE basis?** Select yes, no or not applicable. If the response is "no" for Match or DOES infrastructure projects, ADOT will request additional information which could delay further processing of the Application. The Applicant will be responsible for all costs which exceed the amount awarded from AZ SMART or a Federal Grant.

- aa. **Does the Project Budget include initial ADOT Project Development (PDA) Fees?** Select yes, no or not applicable. Applies to applications for DOES or Match on a federal grant application which will fund design. All others should select "Not applicable."

- 1) For DOES awards, cost estimates should assume administration by ADOT as a federal aid Project. **Initial** ADOT Project Development Administration (PDA) fees of \$30,000 are eligible expenditures for DOES awards but only if they are included in the amount requested for DOES in the Application. Additional PDA fees may apply but will not be funded by the DOES award and are the responsibility of the Applicant. The Applicant will be invoiced for, and shall pay, such additional PDA fees within 30 days of the invoice. Work on the Project may cease until the additional PDA fees are received by ADOT. Additional PDA fees paid that are not required for the Project will be refunded to the Applicant upon approval of the Project final audit.
- 2) Match applications for a federal grant that will fund some or all design should also assume ADOT administration unless the Applicant intends to be a Direct Recipient.

- bb. **Long-term impact of the Project.** This question is worth 5 points in the Priority Criteria. A response is required for all Eligible Uses and is limited to 1000 characters, including punctuation and spaces.

- 1) Infrastructure Projects - Describe the estimated costs to operate and maintain the Project and the source of funding for these activities.
- 2) Non-infrastructure Projects - Identify the long-term benefits of the Project, including how and when the study, plan, etc. is expected to be implemented.

## 5. **AZ SMART Request Section**

ARS §28-339.D requires DOES and Match expenditures to meet Federal Standards, which has been defined in this RFGAA. Applicants should not request funding for expenditures that do not, or will not, meet Federal Standards. ADOT will request the contract(s) or solicitation(s) under which DOES or Match expenditures were procured. Requests for DOES and Match funding must align with, and be based on, costs identified in the Project Budget.

- a. **Enter amount requested for Grant Development (GDS) and Submission (GDS).** Skip this question if not requesting GDS. This Eligible Use is limited to Projects located in a county with a population of 100,000 or less or a municipality with population of 10,000 or less. Enter in whole dollars (for example, 250,000). The amount shall be no greater than 50% of the estimated or actual cost to develop and submit the Federal Grant application.
  - b. **Are you requesting reimbursement of prior GDS expenditures for this Project or will the funds be used to develop a future Federal Grant application?** Applicants should consider the timing of a request for GDS funds to ensure Reimbursement is requested from ADOT within 6 months of the Date of Award. Select one of the following:
    - 1) All GDS funds will be used to reimburse prior GDS expenditures incurred after September 14, 2024.
    - 2) All GDS funds will be used for a future Federal Grant application.
  - c. **Enter amount requested to REIMBURSE Design and Other Engineering Services (DOES) for expenditures that were incurred after September 14, 2024 AND are for services procured under a solicitation which meets Federal Standards as defined in the RFGAA.** Enter in whole dollars (for example, 250,000). Round up to the nearest \$1000. The amount must align with, and be based on, costs identified in the Project Budget submitted with this Application.
  - d. **Upload the contract or solicitation under which DOES expenditures to be reimbursed were incurred.** This information is required if requesting reimbursement and failure to provide it will result in an incomplete application which will not be reviewed, retained or considered.
  - e. **Enter amount requested for future estimated DOES expenditures.** The amount must align with, and be based on, costs identified in the Project Budget submitted with this Application. Skip if not requesting DOES.
- Initial ADOT PDA fees of \$30,000 are eligible for AZ SMART funding but only if included in an Application for Design and Other Engineering Services or Match on a federal grant application which will include design. The initial \$30,000 is an estimate only and may be more or less, depending on the Project. By submitting this application, the Applicant understands the Project may require, and 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.*
- f. **amount requested Match for expenditures that meet Federal Standards as defined in the RFGAA.** The amount must align with, and be based on, costs identified in the Project Budget submitted with this Application. Skip if not requesting Match. Enter in whole dollars (for example, 250,000). Round up to the nearest \$1000.

If no match is required by the Federal Grant, AZ SMART will not provide the funding. Match funds to improve the competitive position of a project is the Applicant's responsibility.

- g. **Enter amount requested Match for expenditures that meet Federal Standards as defined in the RFGAA.** The amount must align with, and be based on, costs identified in the Project Budget submitted with this Application. Skip if not requesting Match. Enter in whole dollars (for example, 250,000). Round up to the nearest \$1000.

If no match is required by the Federal Grant, AZ SMART will not provide the funding. Match funds to improve the competitive position of a project is the Applicant's responsibility.

- h. **What is the status of the Federal Grant application associated with this request for Match funding?** Skip if not requesting Match. Options include:

We have already been awarded the Federal Grant.

We have applied for the Federal Grant but have not yet been awarded.

We plan to apply for the Federal Grant within the next 6 months.

We plan to apply for the Federal Grant more than 6 months from now.

- i. **Will the Project be able to proceed if awarded less AZ SMART Funds than requested?** Select yes or no. The Board has authority to modify award amounts and may do so based on limited funding in any Funding Category. In such cases, the Applicant will be required to provide the remaining funding for the project.

Applicants are hereby notified that projects receiving reduced DOES awards are still required to submit a federal grant application within 2 years of the Date of Award.

## 6. Other Project Funding Sources Section

The information in this section is focused on project funding other than AZ SMART and is required to generate a Funding Sources and Uses exhibit which will be attached to and be incorporated into the RFGAA. Do not include any amounts requested from AZ SMART in responding to the questions in the section.

- a. **Enter amount of funding provided by the Applicant from its own funds for the Project. Enter 0 if none.** Do not include formula federal aid funding, Legislative Appropriations, Congressionally Directed Spending, the Federal Grant, partner or private contributions or any other sources. Enter in whole dollars (for example, 250,000). Information provided here will be used to calculate Applicant matching funds.
- b. **Enter amount of funding to be contributed by any Project partners.** Do not include formula federal aid funding, Legislative Appropriations, Congressionally Directed Spending, the Federal Grant, applicant funding or any other sources. Enter in whole dollars (for example, 250,000). Enter 0 if none.
- c. **Enter amount of federal aid formula funds programmed for the Project. Enter in whole dollars (for example, 25,000). Enter 0 if none.** Do not include Legislative Appropriations, Congressionally Directed Spending, the Federal Grant, applicant funding or any other sources. Formula federal aid funding includes but is not limited to Surface Transportation Block Grant Program (STBGP), Highway Safety Improvement Program (HSIP), Transportation Alternatives (TA), Off System Bridge

(OSB), National Highway Performance Program (NHPP), Transit (5310, 5311, etc.) and other annual formula funding.

- d. **Enter amount of match on the formula federal aid funds. Enter in whole dollars (for example, 25,000). Enter 0 if none.** Do not include Legislative Appropriations, Congressionally Directed Spending, the Federal Grant, applicant funding previously identified or any other sources.
- e. **Has Congressionally Directed Spending (CDS) been requested for this project?** Do not include Legislative Appropriations, applicant funding, the Federal Grant, partner or private contributions or any other sources. Options include:
  - 1) Yes, and we have received an award
  - 2) Yes, but we have not yet received an award
  - 3) No
- f. **Enter the amount of CDS requested or received.** Do not include formula federal aid funding, Legislative Appropriations, applicant funding, the Federal Grant, partner or private contributions or any other sources. Skip if no CDS is involved.
- g. **Has an Arizona Legislative Appropriation been requested for this project?** Do not include applicant funding, formula federal aid funding, Congressionally Directed Spending, the Federal Grant, partner or private contributions or any other sources. Options include:
  - 1) Yes, and we have received an appropriation
  - 2) Yes, but we have not yet received an appropriation
  - 3) No
- h. **Enter the amount of the Arizona Legislative Appropriation requested or received.** Do not include applicant funding, Congressionally Directed Spending, the Federal Grant, partner or private contributions or any other sources. Skip if no Legislative Appropriations are involved.
- i. **Has any other funding been received or awarded for this project?** Do not include applicant funding, Legislative Appropriations, Congressionally Directed Spending, the Federal Grant, or partner or private contributions. If yes, select Other and identify the source of the funds. Options include:
  - 1) No
  - 2) Other
- j. **Enter the amount of the Other funding received or awarded.** Do not include applicant funding, Legislative Appropriations, Congressionally Directed Spending, the Federal Grant, or partner or private contributions. Skip if no Other funding is involved.

## 7. Federal Grant Section

- a. **Identify the Federal Grant for which the Applicant intends to submit the Project** - select one grant only. The Applicant shall identify the federal grant it intends to pursue, or has already been awarded, for the Project. If the desired

grant is not listed, select Other and provide the name of the grant and the applicable federal agency. The 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, and may wish to consult the USDOT [Discretionary Grants Dashboard](#).

**b. How does the Applicant intend to submit the federal grant application?**

Options are as follows:

- 1) Applicant or Consultant will submit directly. Applications for many road, bridge and rail Federal Grants can be submitted by the Applicant or its grant consultant.
- 2) Applicant requests ADOT to submit. Unless otherwise identified in a NOFO/NOFA, ADOT may be required to submit Federal Grant applications for transit agencies that receive FTA funding only as a subrecipient of ADOT. If the Applicant is not eligible to apply directly, it may request that ADOT submit the Application on behalf of the Applicant as follows:
  - a) At least thirty (30) day prior to the Application deadline in the NOFO/NOFA for the applicable Federal Grant, the Applicant shall submit the [ADOT Grant Coordination Support Request Form](#).
  - b) At least seven (7) days before the NOFO/NOFA deadline, all completed application materials must be provided to the ADOT Grant office for submission.
- 3) Application has already been submitted.

Please note ADOT does not provide grant writing assistance, and ADOT's grant writing contracts are not accessible to other entities. Applicants are responsible for developing, preparing, or generating data, narratives, explanations, charts/graphs, cost estimates or any other information in the format required in the applicable NOFO/NOFA. ADOT will not review, edit, format or otherwise revise the information provided by the Applicant.

An Applicant that is a Direct Recipient for transit purposes may be required to apply for a transit grant directly at <http://grants.gov>. Rail and other projects may have similar requirements.

**c. How does the Applicant intend to administer the Project if awarded a Federal Grant? Options include:**

- 1) Be a direct recipient if allowed in the NOFO/NOFA – *At a minimum*, Direct recipients and Applicants self-administering a Project are responsible for:
  - Procuring all consultants and contractors under solicitations which meet Federal Standards.
  - Making all payments directly to consultants, contractors or other service providers prior to requesting reimbursement from AZ SMART or the federal agency. Reimbursement may take 1-2 months or more.
  - All reporting and compliance requirements related to the Federal Grant.



- 2) Request ADOT administration – PDA and construction administration fees will apply. For certain projects, ADOT may decline to accept the responsibility based on project type, resource capacity or other factors, and will advise the Applicant if it chooses to decline. Applicants that begin as a direct recipient and later request ADOT administration will be required to pay PDA and construction administration fees as applicable.
  - 3) Other – Provide further information on any other administration format; approval from ADOT and the federal agency awarding the Federal Grant may be required.
- d. **Which phase(s) of the Project will be submitted in the Federal Grant application?** Applicants are responsible for determining the eligibility of each phase under the selected Federal Grant. Check the boxes for each applicable phase. Options include:
- 1) Design – includes final design, right of way, environmental, or other clearances, etc.
  - 2) Right of Way Acquisition
  - 3) Utilities
  - 4) Construction
  - 5) Other – provide further information regarding other phases such as studies and planning.

## 8. Other Required and Supplementary Documents Section

- a. **Is any of the data, information or documents provided with or in this application considered confidential?** Confidential data, information or documents include trade secrets or other proprietary information. All such information must be clearly marked as CONFIDENTIAL. ADOT must concur the information is indeed confidential. No public records may be deemed confidential. Check either yes or no.
- b. **Identify the confidential data, information or documents below.** Clearly identify all confidential documents and information, including the page(s) on which it may be listed. Skip if not applicable.
- c. **Upload signed Offer and Acceptance form.** This document is required and must be signed by the Authorized Representative. If the Board makes an award, ADOT will countersign and provide an executed version of the Offer and Acceptance to the Applicant. Limited to a single PDF up to 1 MB
- d. **If applicable, upload document authorizing the Authorized Representative to sign the Offer and bind the Applicant in the RFGAA.** This document is required if the governing body resolution does not contain the necessary authorization. A delegation of authority or other authorization shall clearly identify the authority of the Representative to bind the Applicant contractually. Limited to a single PDF up to 1 MB
- e. **Non-governmental Entities ONLY - Upload legal organizing document, such as Articles of Incorporation.** This item is required for Non-governmental Entities. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered. Limited to a single PDF up to 10 MB.

- f. **Non-profit corporations ONLY - Upload the Determination Letter from the Internal Revenue Service conveying tax-exempt status.** This item is required for Non-profit corporations. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered. Limited to a single PDF up to 1 MB.
- g. **Letters of Support** – up to 5 letters of support may be submitted. Letters should be directed to the State Transportation Board, 206 S 17th Avenue, Phoenix, AZ 85007. Applicants for rail projects should include a letter from the host railroad and potential operator(s).
  - 1) **Upload Letter of Support #1.** Optional. Up to 5 letters of support for the Project may be submitted. Limited to 1 PDF file; 1 MB maximum
  - 2) **Upload Letter of Support #2.** Optional. Up to 5 letters of support for the Project may be submitted. Limited to 1 PDF file; 1 MB maximum
  - 3) **Upload Letter of Support #3.** Optional. Up to 5 letters of support for the Project may be submitted. Limited to 1 PDF file; 1 MB maximum
  - 4) **Upload Letter of Support #4.** Optional. Up to 5 letters of support for the Project may be submitted. Limited to 1 PDF file; 1 MB maximum
  - 5) **Upload Letter of Support #5.** Optional. Up to 5 letters of support for the Project may be submitted. Limited to 1 PDF file; 1 MB maximum