

## ARIZONA DEPARTMENT OF TRANSPORTATION

### Request for Grant Applications and Agreement ("RFGAA")

**March 13, 2025 update**

**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-ztvf-tbp](https://meet.google.com/hjw-ztvf-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 Chairperson of the Board has up to 45 days to place an application on the Board's agenda. The Board may approve, deny, modify or request additional information about an application. 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.

## Table of Contents

<b>I. INTRODUCTION</b>	<b>3</b>
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
<b>II. SPECIFICATIONS</b>	<b>6</b>
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
<b>III. APPLICATION, REVIEW, RECOMMENDATION AND BOARD ACTION PROCESS</b>	<b>11</b>
<b>IV. FEDERAL GRANTS APPLICATIONS</b>	<b>22</b>
<b>V. PRIORITY CRITERIA AND SCORES</b>	<b>24</b>
<b>VI. REQUESTING REIMBURSEMENT FROM AZ SMART</b>	<b>29</b>
<b>VII. SPECIAL TERMS AND CONDITIONS</b>	<b>31</b>
<b>VIII. STANDARD TERMS AND CONDITIONS</b>	<b>38</b>
<b>IX. OFFER AND ACCEPTANCE</b>	<b>42</b>
<b>X. DEFINITIONS AND ABBREVIATIONS</b>	<b>44</b>
<b>XI. PROJECT NAMING GUIDANCE</b>	<b>48</b>
<b>XII. ARS §28-339, AZ SMART LAW</b>	<b>49</b>
<b>XIII. ARIZONA CONSTITUTION, ARTICLE 9, SECTION 7</b>	<b>52</b>
<b>XIV. ARS §41-2701 ET SEQ, GRANT STATUTE</b>	<b>53</b>
<b>XV. STATE TRANSPORTATION BOARD POLICY #45</b>	<b>57</b>
<b>XVI. SAMPLE RESOLUTION OF GOVERNING BODY</b>	<b>59</b>
<b>XVII. AZ SMART PAYMENT PROGRESS FORM</b>	<b>61</b>
<b>XVIII. APPLICATION INSTRUCTIONS</b>	<b>62</b>
<b>XIX. SAMPLE AZ SMART FUND APPLICATION FORM</b>	<b>79</b>

## I. INTRODUCTION

### A. Solicitation Purpose

The Arizona Department of Transportation (“ADOT”) and the State Transportation Board (“Board”) announce the availability of the Request for Grant Applications and Agreement (“RFGAA”) for the State Match Advantage for Rural Transportation (“AZ SMART”) Program. Projects eligible for AZ SMART are surface transportation projects which have been awarded, or will be submitted for, a Federal Grant. Surface transportation projects include road, bridge, transit, rail, related facilities such as bicycle and pedestrian paths, and surface transportation elements of multimodal projects that are eligible for the Federal Grant identified in the AZ SMART application.

Infrastructure Projects must be on public land or a facility which is, or will be, owned by a municipality, county, tribal government, special district or other federal, state or local governmental entity which has, or will have, responsibility for the Project’s operation and maintenance. The Project must be continuously available for public use. Non-infrastructure projects must be related to a publicly owned asset or public purpose.

This RFGAA combines multiple program documents into a single solicitation, including Program Guidelines, Application and Application Instructions, contractual provisions, statutes, Board Policy, and various forms and resources. **The executed version of the RFGAA constitutes the required agreement between ADOT and the Applicant by which an AZ SMART award will be governed.**

The RFGAA requires all data, information, documents and Applicant approvals to be provided with the Application. This structure will enable the Project to begin as soon as possible after Board award.

### B. Available Funding

ADOT posts the available funding for each category on the [AZ SMART webpage](#) monthly or within 30 days of:

1. Receipt of interest earnings.
2. Board approval of new or rescinded applications.
3. Redistribution of AZ SMART funds by the Board pursuant to ARS §28-399.N.
4. Closure by the Board of applications for any Funding Category pursuant to ARS §28-399.O.

### C. Multiple Awards

The Board intends to make multiple awards as each Application is ready for consideration, depending on the funding available in each Funding Category.

### D. Application Submission and Anticipated Award Dates

Pursuant to ARS §41-2701 et seq, after an initial 6 week application period following the posting of this RFGAA, applications will be continuously accepted and processed. Monthly Priority Planning Advisory Committee (“PPAC”) and Board meeting dates are shown in Figure 1 below. Figure 1 also shows the deadline by which Applicants awarded funds for Design and Other Engineering Services (“DOES”) must submit a Federal Grant application.

See [Application, Review, Recommendation and Board Action Process](#) for further information on processing time.

Figure 1

AZ SMART Application Submission and Anticipated Award Dates			
<i>AZ SMART Application Submission Deadline</i>	<i>Anticipated PPAC Consideration</i>	<i>Anticipated Board Action</i>	<i>Federal Grant Submission Deadline for DOES Awardees*</i>
Applications are continuously accepted after an initial 6 week application period following the posting of a new/revised RFGAA	1 <sup>st</sup> Wednesday of each Month – see <a href="#">PPAC website</a> to confirm dates and times	3 <sup>rd</sup> Friday of each Month – see <a href="#">Board website</a> to confirm dates and times	On or before 2 years from the Date of Award

\*DOES means Design and Other Engineering Services

#### E. No Guarantee of Timely Award.

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.

#### F. Questions about the RFGAA.

Questions regarding the RFGAA are continuously accepted by email to [azsmart@azdot.gov](mailto:azsmart@azdot.gov). Answers to these questions, clarifications related to this RFGAA and other updates will be posted and updated periodically on the Questions and Answers page on the [AZ SMART website](#). An Applicant is responsible for reviewing this information before applying. The Authorized Representative is required to certify he/she has read and understood the RFGAA and the Questions and Answers webpage on the [AZ SMART website](#).

#### G. Applicable Statutes, Policies and Documents.

The following statutes, policies, information and documents apply to this RFGAA. This list is subject to change and does not purport to include all such items discussed in the RFGAA.

1. [AZ SMART website](#), including the Questions and Answers webpage
2. [ARS §28-339, State Match Advantage for Rural Transportation](#)
3. [Arizona Constitution, Article 9, Section 7](#)
4. [ARS §41-2701 through 41-2706, Solicitation and Award of Grants](#)
5. [Board Policy #45, AZ SMART Fund](#)
6. US Department of Transportation (“USDOT”) [Discretionary Grants Dashboard](#)
7. [AZ SMART Eligibility by Population](#) – contains data applicable to AZ SMART from most recent decennial census certified by the United States Census Bureau
8. [AZ SMART Federal Discretionary Grant Program statutes](#) – this webpage 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.



9. FHWA [Purpose, Need and Alternatives](#)
10. [Federal Standards](#) – review the contract provisions required to be included in solicitations for consultants and contractors to ensure DOES and Match expenditures are eligible for reimbursement
11. [Strategic Highway Safety Plan](#) (“SHSP”)
12. [ADOT Cost Estimate Tool](#)
13. [ADOT Project Scoping Document Guidelines](#)
14. [ADOT Sample Scoping Document](#)
15. ADOT [Estimated Engineering Construction Cost \(“E2C2”\) database](#)
16. [ADOT Local Public Agency office webpage](#)
17. [ADOT Grant Coordination Support Request Form](#)
18. [Arizona Councils of Governments](#) (“COG”)
19. [Arizona Metropolitan Planning Organizations](#) (“MPO”)

## II. SPECIFICATIONS

### A. Program Description

The AZ SMART Fund<sup>1</sup> was established in 2022 to help Eligible Applicants compete more effectively at the national level for numerous Federal discretionary grants, which are competitive and awarded at the discretion of the federal agency.

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.

AZ SMART became effective on September 24, 2022. The program was amended in 2023 to clarify Applicant eligibility. Significant amendments were made to the program in 2024 (Laws 2024, Chapter 120) which, among other changes, broadened the applicant pool as well as the authority of ADOT and the Board. The effective date of the 2024 changes was September 14, 2024.

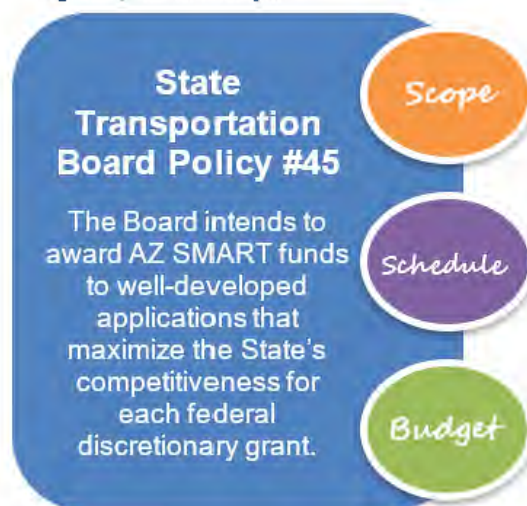
The AZ SMART Fund is administered by ADOT. All awards from the AZ SMART Fund must be approved by the Board.

### B. Funding Categories

The AZ SMART Fund received an initial Legislative Appropriation of \$50 million in state fiscal year ("FY") 2023, and an additional \$12.5 million in FY 2024. At ADOT's direction, these funds are invested by the state treasurer and earn interest to help sustain the Fund (ARS §28-339.B). The monies in the AZ SMART Fund are exempt from lapsing.

Funds are allocated by ARS §28-339.F to the population-based Funding Categories identified below. Population is based on the most recent decennial census certified by the United States Census Bureau (ARS §28-339.Q).

Figure 2, Board Policy #45



<sup>1</sup> The AZ SMART Fund grant program is different from the federal program using the "SMART" acronym, the Strengthening Mobility and Revolutionizing Transportation grant program. However, the federal SMART grant program is a federal discretionary grant which provides funding for surface transportation projects, and therefore is eligible under the AZ SMART Fund.

1. 20% for projects located in counties with a population of 100,000 persons or more;
2. 20% for projects located in counties with a population of fewer than 100,000 persons;
3. 20% for projects located in cities and towns with a population of 10,000 persons or more;
4. 20% for projects located in cities and towns with a population of fewer than 10,000 persons; and
5. 20% to ADOT. ADOT may not use its share for projects that are located in an urbanized area of a county with a population of more than one million persons.

### **C. Fund Status**

ADOT posts the current balances of each Funding Category following each Board meeting on the [AZ SMART webpage](#). The balances are subject to change based on awards, interest earnings, legislative transfers into or out of the AZ SMART Fund, month-end adjustments and other changes.

### **D. Eligible Applicants**

Eligible Applicants for the AZ SMART Program are those entities eligible to receive a federal discretionary grant for surface transportation purposes. Applicants must be identified in federal statute or a current NOFO or NOFA for the specific Federal Grant as an Eligible Applicant. Eligible Applicants include for AZ SMART include, but are not limited to:

1. Apache, Cochise, Coconino, Gila, Graham, Greenlee, La Paz, Mohave, Navajo, Pinal, Santa Cruz, Yavapai and Yuma Counties.
2. Incorporated cities and towns located in the Counties listed above.
3. Regional transit authorities in the cities, towns and counties listed above.
4. Metropolitan Planning Organizations ("MPO").
5. Federally recognized Indian Tribes.
6. ADOT.
7. Other political subdivisions of the State.
8. Non-governmental entities eligible for a Federal Grant, such as Councils of Governments ("COG"), private non-profit or for profit corporations, associations, individuals, or any other entity which is not a political subdivision of this State or a Tribal Nation.

### **E. Funding Categories**

The AZ SMART Funding Category from which a Project will be funded is based on the population of the jurisdiction in which the Project is located, as determined in the most

recent decennial census certified by the United States census bureau (see [AZ SMART Eligibility by Population](#)). Projects in unincorporated areas will be funded from the applicable County Funding Category, and Projects within an incorporated city or town will be funded from the applicable Municipal Funding Category. This also applies to projects on ADOT's system submitted by an applicant other than ADOT.

Figure 3 below shows examples of the Funding Category associated with various project scenarios.

<i>Figure 3 – Funding Category Examples</i>	
<i>Project Location or Description</i>	<i>Funding Category</i>
50% or more contained in an incorporated city or town with population of less than 10K	Municipalities under 10K
50% or more contained in an incorporated city or town with population of 10K or more	Municipalities over 10K
50% or more contained in an unincorporated area of a County with population of less than 100K	County under 10K
50% or more contained in an unincorporated area of a County with population of 100K or more	County over 100K
Projects submitted by a COG	County over 100K
Project submitted by an MPO	Municipalities over 10K
Projects submitted by multi-jurisdictional applicants, such as transit authorities	From the category with the largest share of Project's population or the service boundaries as identified in the Applicant's legal organizing documents.
Projects on ADOT's system submitted by an applicant other than ADOT	From the Municipal or County category with the largest share of Project's population
Projects on ADOT's system submitted by ADOT	ADOT

## F. Eligible Projects

Many surface transportation Projects eligible for a Federal Grant are also eligible for AZ SMART. The Applicant is responsible for identifying appropriate Federal Grants for the Project. Projects submitted to AZ SMART must meet all of the following requirements:

1. Has been or will be submitted for a Federal Grant which funds surface transportation projects. The USDOT [Discretionary Grants Dashboard](#) provides an overview of federal discretionary grant opportunities that can help meet transportation infrastructure needs, including those with rural and Tribal set-asides and low or no match requirements. The Dashboard also includes Federal Grant programs from other federal agencies which may fund surface transportation projects. Congressionally Directed Spending is not a Federal Grant.

2. Be for, and directly related to, surface transportation purposes. This includes roads, bridges, rail, or transit, a related facility such as bicycle and pedestrian paths, trails, etc., or a surface transportation component(s) of a multimodal project. 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. Aviation is not eligible for AZ SMART.
3. Be an infrastructure or non-infrastructure Project eligible for the specific Federal Grant identified in the AZ SMART application. Infrastructure projects include the design and construction of a physical surface transportation asset, or an improvement to a physical asset. Non-infrastructure projects include studies, training, regional planning and other activities not directly tied to a specific infrastructure project.
4. Be related to a public facility. This includes infrastructure owned by a municipality, county, tribal government, or special district or other governmental entity which has, or will have, responsibility for the Project's operation and maintenance.
5. Be continuously available for use by the public.

## **G. Eligible Uses**

AZ SMART Funds may be used only to fund or reimburse expenditures related to Eligible Projects which meet Federal Standards for the uses described below. **APPLICANTS ARE HEREBY NOTIFIED THAT ONLY EXPENDITURES INCURRED UNDER A PROCUREMENT WHICH MEETS FEDERAL STANDARDS ARE ELIGIBLE**, with the exception of Grant Development and Submission.

1. Design and other engineering services ("DOES") expenditures that meet Federal Standards. The development of scope, schedule and budget information required to be submitted in the AZ SMART application and the initial ADOT Project Development Administration ("PDA") fee of \$30,000 are eligible for DOES, provided these costs are included in the Project Budget submitted with the Application. Costs to develop scope, schedule and budget must have been incurred under a procurement which meets Federal Standards. PDA costs may exceed the initial \$30,000 fee and the Applicant will be responsible for such additional fees.  
  
**Applicants receiving DOES awards must apply for a Federal Grant within 2 years of the Date of Award by the Board.** Pursuant to ARS §28-339.E.3, failure to meet this deadline will result in the award being rescinded by the Board, and the Applicant will be required to repay any DOES funding expended or reimbursed.
2. Match for a Federal Grant for cash or in-kind expenditures that meet Federal Standards. In-kind expenditures must be allowable under the applicable Federal Grant.
3. Up to 50% of cash and in-kind Grant Development and Submission ("GDS") expenditures; limited to Projects located in Municipalities with population of less than 10,000 and Counties with population of less than 100,000. This eligible use is not required to meet Federal Standards.

## **H. Ineligible Uses**

AZ SMART funds may not be used to fund or reimburse:

1. A Project located in Maricopa County, Pima County or any city, town, or unincorporated area partially or wholly located within these Counties.
2. DOES or Match expenditures that do not meet Federal Standards.
3. Expenditures 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.
4. Changes in Scope.
5. Expenditures incurred prior to September 14, 2024, the effective date of Laws 2024, Chapter 120.
6. Match in excess of the amount required by the applicable Federal Grant. Excess match monies to improve a Project's competitiveness for the Federal Grant are the responsibility of the Applicant.
7. Match for formula funding programs such as Surface Transportation Block Grant Program ("STBGP"), Highway Safety Improvement Program ("HSIP"), Off-system Bridge, Transportation Alternatives or other formula funds programmed by ADOT or a COG/MPO.
8. Match for Congressionally Designated Spending earmarks or any other funding which is not a federal discretionary grant.
9. Expenditures made prior to the execution of a Federal Grant Agreement.
10. Expenditures for which the Applicant received funding from any other source for the same Project and purpose in an amount equal to or greater than the AZ SMART award (ARS §28-339.P). For example, if an Applicant receives a DOES award and also receives a federal grant which funds design, ARS §28-339.P requires the Board to rescind the DOES award. The Applicant must also repay any DOES funding expended with one year from the date of the rescission resolution approved by the Board.
11. Expenditures related to a Project for which the Applicant will no longer pursue a Federal Grant. For example, an Applicant received an AZ SMART award for DOES, and later received a Legislative Appropriation for construction. As a result, the Applicant no longer needs to pursue a Federal Grant application. At the point an Applicant is no longer pursuing a Federal Grant, the AZ SMART award becomes invalid. The Board will rescind the award and the Applicant must repay any AZ SMART funding expended or reimbursed.
12. Other expenditures which are ineligible for the applicable Federal Grant or ARS §28-339.

### III. APPLICATION, REVIEW, RECOMMENDATION AND BOARD ACTION PROCESS

Upon approval of a new or revised RFGAA by the Board, it will be posted on the [AZ SMART website](#). In compliance with ARS §41-2702.C, all applications received within the initial, required 6 week application period will be held. At the end of the 6 week application period, all applications will be processed as discussed below. Following the initial, required 6 week application period, applications will be continuously accepted and no further waiting period will apply unless the Board approves a subsequent RFGAA, which will restart the posting and 6 week application period cycle.

Questions regarding the RFGAA are continuously accepted by email to [azsmart@azdot.gov](mailto:azsmart@azdot.gov). Answers to these questions, clarifications related to this RFGAA and other updates will be posted and updated periodically on the [AZ SMART website](#). An Applicant is responsible for reviewing this information before applying. The Authorized Representative is required to certify he/she has read and understood the RFGAA and the Questions and Answers webpage on the [AZ SMART website](#).

The Application, Review, Recommendation and Board Action process is shown in Figure 4 below. The duration shown for each phase is an estimate only and some applications, such as those requesting GDS or Match, may proceed more quickly. Applications with well-developed Project scopes, schedules and budgets will generally be reviewed and forwarded to the Evaluators, PPAC and the Board more quickly than applications that are very preliminary.

*Due to the time requirements and allowances specified in the applicable statutes, neither the Board nor ADOT can guarantee that PPAC will make a recommendation or the Board will consider or approve the AZ SMART Fund application prior to the NOFO/NOFA deadline. If the Applicant proceeds to apply for a Federal Grant before the Board considers its application for AZ SMART Funds, the Applicant does so with full knowledge and understanding that it may not be awarded AZ SMART Funds and will be responsible for providing the funds itself if awarded a Federal Grant.*

As shown in Figure 4, there are 4 phases in the Application, Review, Recommendation and Board Action Process:

#### A. Phase 1, Application Development

**Applicants are advised to begin preparing an AZ SMART application prior to the release of a NOFO/NOFA.** Most US DOT Federal Grants have fairly predictable cycles which can be quickly identified using the USDOT [Discretionary Grant Dashboard](#). An Applicant can anticipate the next round of the applicable grant and begin preparing at any time.

**Phase 1 is the most important factor in determining the speed at which an Application can be referred to PPAC and/or the Board.** The quality and completeness of scope, schedule and budget is directly correlated with the amount of time required in Phase 2. Well-conceived and developed applications are expected to proceed more quickly, an important consideration when limited resources are available. Applicants are solely responsible for the timing of their application development and submission, and advanced preparation is required to facilitate timely processing and consideration for award.

##### 1. Applicant Responsibilities

At a minimum, Applicants are responsible for the following actions during Phase 1:

- a. Visit the USDOT [Discretionary Grants Dashboard](#) for assistance in identifying



transportation grant opportunities for which the Project may be eligible. Only one Federal Grant may be identified in each AZ SMART application.

- b. Review the NOFO/NOFA or the federal statutes establishing the applicable Federal Grant to determine suitability, Project and Applicant eligibility, priority criteria, eligible expenditures, etc. The [AZ SMART website](#) contains excerpts of federal statutes for numerous Federal Grants. This information is provided as a courtesy only and does not purport to cover all Federal Grants. Applicants are solely responsible for conducting their own grant research.

Figure 4 – Application, Review, Recommendation and Board Action Process



- c. Read and understand this RFGAA and the Questions and Answers webpage on the [AZ SMART website](#). The Application and Offer both require the Authorized Representative to certify this responsibility has been discharged. Also, listen/watch the AZ SMART Pre-Application webinar on the website, if available.
- d. Submit any questions regarding the RFGAA via email to [azsmart@azdot.gov](mailto:azsmart@azdot.gov).
- e. Ensure DOES and Match expenditures for which Reimbursement will be requested have been procured through solicitation(s) which meet the applicable Federal

Standards. ADOT will require Direct Recipients or those authorized by ADOT to self-administer a Project to provide the applicable solicitation or contract under which consultants, contractors and all other services were procured with a request for reimbursement.

- f. Prepare a well-developed Project Scope, Schedule and Budget. **This is the most important element of the application and determines the speed at which the application will move to PPAC and the Board.** See the [Application Instructions](#) for detailed guidance. The development of scope, schedule and budget information required to be submitted in the AZ SMART application is eligible for DOES, provided:
  - 1) Any consultant services used to develop the information were procured under a solicitation which meets Federal Standards, and
  - 2) These expenditures are included in the Project Budget submitted with the Application.
- g. Obtain a duly approved and signed resolution of the board, council or other governing body of the Applicant which demonstrates support and financial commitment to the Project and the selected Federal Grant. The approved and signed resolution shall be submitted with the Application. A Sample Resolution is provided in this RFGAA.
- h. Obtain the COG/MPO approval letter required by ARS §28-339.H.
- i. Assemble all required documents (see [Application Checklist](#)) and submit an Administratively Complete application in a single sitting. The Application may not be saved and completed later.
- j. Provide a written response to each item in the Review Recap and amend the Application as required. Further processing of the Application will be dependent upon completing these items.
- k. Gather up to five letters of support for the Project.
- l. Clearly identify and mark any trade secrets or other proprietary information contained in the application which must remain confidential (ARS §41-2702.E).

## 2. COG/MPO Approval

- a. Applicants shall obtain the written approval of the applicable [MPO](#) or [COG](#) before applying to the department. (ARS §28-399.H). 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. Applicants should consult with the applicable COG/MPO to determine the approval process for AZ SMART Fund applications.

The COG/MPO approval letter shall:

- 1) Be on letterhead of the applicable COG/MPO and signed by the Executive Director or Chairperson of the COG/MPO governing body.
- 2) Reflect *approval* of the Application. Letters merely transmitting the Application will be rejected and result in the Application not being Administratively Complete.

- b. Projects included in an approved Regional or Tribal TIP receive the highest points for the Priority Criterion related to Evidence of Public Support. This includes projects on an “Illustrative” list:
  - 1) Which is approved by the applicable COG/MPO board/council as part of the TIP, and
  - 2) From which a project may be quickly moved into the TIP in an administrative amendment if an AZ SMART award is approved by the Board.

## **B. Phase 2, Application and Courtesy Technical Review, and Application Evaluation**

Applicants are advised that it may take up to *8 weeks or more* until an application for DOES is Ready to Proceed for PPAC and Board consideration. Applications with well-developed scopes, schedules and budgets may proceed more quickly. ADOT has provided tools to assist Applicants in developing Project Scopes, Schedules and Budgets. ADOT accepts no responsibility for delays related to applications which require extensive review, require further information to be provided by the Applicant, or are not otherwise Ready to Proceed.

### **1. ADOT Authorities and Responsibilities**

During Phase 2, ADOT will:

- a. Conduct a Pre-application conference at least 21 days prior to the due date for applications (ARS §41-2702.D) as shown in Figure 1. The date of any Pre-application conference will be posted on the [AZ SMART website](#).
- b. Receive Applications and post the names of each Applicant on the [AZ SMART website](#) within 7 days of the receipt of the Application (ARS §41-2702.E).
- c. Ensure an Application is Administratively Complete. (ARS §28-339.I)
- d. Determine if the requirements of the NOFO or federal statutes establishing the Federal Grant have been met. The determination will be based on, but not limited to, the following:
  - 1) Eligibility of the Applicant and Project for the Federal Grant (ARS §28-399.I). ADOT will review the eligible Applicants identified either in the NOFO or the federal statute establishing the grant. ADOT may request additional documentation from a Non-governmental entity to assist in this determination.
  - 2) Eligibility of the Project for AZ SMART and the Federal Grant.
  - 3) Confirmation the required COG/MPO approval has been granted (ARS §28-399.H).
- e. Calculate the Quick Ratio for Direct Recipient or self-administering Applicants. Direct Recipients or Applicants approved by ADOT to self-administer DOES or a Federal Grant are required to pay Project invoices up front and then submit for reimbursement from the federal agency and/or AZ SMART. Reimbursements may be requested at least quarterly but not more than monthly and will take a minimum of 30 days to review, approve, and process. The Quick Ratio is an indicator of the Applicant's cash flow capacity while awaiting reimbursement.

The Quick Ratio for each of the last 3 years will be provided to the Board to assist its determination of an Applicant's financial capacity to successfully complete the Project (ARS §28-399.H). The Quick Ratio will be calculated as follows:

*Quick ratio = (Current assets – inventory – prepaid expenses)/Current Liabilities*

- f. Validate information regarding an Applicant's experience as evidenced by previous federal discretionary grant awards or formula federal aid projects such as HSIP, TA, etc., since January 1, 2023. This information will be provided to the Board to assist its determination of an Applicant's technical capacity to successfully complete the Project (ARS §28-399.H).
- g. Conduct the Courtesy Technical Review:
  - 1) The Evaluators will conduct a Courtesy Technical Review of the scope, schedule and budget for the Project and may identify concerns, provide comments or request additional information. Applicants are strongly encouraged to consider this information and adjust their Application prior to formal evaluation, scoring and ranking by the Evaluators.
  - 2) There is no cost to the Applicant for the Courtesy Technical Review.
  - 3) The time required to complete the Courtesy Technical Review will depend on the project, availability of resources to conduct the review, and the quality of the scope, schedule and budget information submitted by the Applicant.
  - 4) Questions, comments and requests for more information from the Courtesy Technical Review will be combined with any eligibility, documentation or application questions or issues in the Review Recap document.
  - 5) The Courtesy Technical Review is a high-level review provided by ADOT to assist Applicants with developing realistic scopes, schedules and budgets. It does not purport to cover all scenarios and does not constitute approval or endorsement by ADOT of the 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.
- h. Forward the Review Recap to the Applicant.

## **2. Applicant Response to Review Recap**

Upon receipt of the Review Recap from ADOT:

- a. The Applicant shall prepare a written response to any questions identified in the application or Courtesy Technical Review and return it to ADOT within 10 business days.
- b. The Applicant may also update its application during this time if desired.

### **3. Application Evaluation**

- a. After an Applicant has responded to questions in the Review Recap, updated its application, and all Project, contract or other issues have been resolved, an Application is deemed to be Ready to Proceed. ADOT staff will forward each Ready to Proceed Application and the Applicant's responses to the Review Recap to the Evaluators (ARS §41-2702.H).
- b. Each Ready to Proceed Application will be evaluated by at least three Evaluators who are peers or other qualified individuals (ARS §41-2702.F).
- c. The Evaluators will review each application based solely on the Priority Criteria or factors set forth in the RFGAA. The Evaluators will maintain a written record of the assessment of each application, which includes comments regarding compliance with each Priority Criterion, the citation of a specific criteria or factor as the basis of each stated strength or weakness and a clear differentiation between comments based on facts presented in the Application and comments based on professional judgment.
- d. The Evaluators will rank the applications based on the total score of each and provide each application with Priority Criteria scores and rankings to PPAC to make recommendations to the Board (ARS §25-339.I).
- e. Pursuant to ARS §41-2702.E, Applications are confidential during the evaluation process.
- f. Upon completion of the evaluations, ADOT shall forward applications to the departmental committee established pursuant to section 28-6951 (PPAC) for a recommendation (ARS §28-399.I). ADOT will place the Application, along with scores and rankings, on the PPAC agenda. With the posting of the PPAC meeting materials, the Application, Priority Criteria scores and rankings and other information or data related to the Application will be made publicly available. The exception is trade secrets or proprietary information which were identified as confidential.

### **C. Phase 3, ADOT Priority Planning Advisory Committee ("PPAC") Recommendation**

1. Pursuant to ARS §28-6951, PPAC was established to aid the ADOT Director in the development of the five year transportation facilities construction program. The members of PPAC are ADOT employees, appointed by and responsible to the director.
2. PPAC is a public body which generally meets virtually on the first Wednesday of each month. Applicants will be invited to the PPAC meeting at which their applications will be considered, and it is recommended that a person familiar with the scope, schedule and budget participates to answer any questions from PPAC. Applicants may also take advantage of the Call to the Public to discuss their project.



3. If a recommendation is made by PPAC to the Board, ADOT shall notify the Board Chairperson the application is ready for consideration and action (ARS §28-399.I).
4. A recommendation by PPAC to the Board does not constitute approval or endorsement of the Project by PPAC or ADOT. The ultimate approval authority lies with the Board. Neither ADOT nor PPAC will be responsible if an application is delayed at PPAC or is not approved by the Board.

#### **D. Phase 4, State Transportation Board (“Board”) Action**

All AZ SMART awards must be approved by the Board. Per Board Policy #45, AZ SMART Fund, the Board intends to award funding to well-developed applications that maximize the State’s competitiveness for each Federal Grant.

##### **1. Board authorities**

- a. The chairperson of the Board shall place an application(s) on the agenda for action within 45 days of notification of a recommendation by ADOT (ARS §28-399.J).
- b. The Board may:
  - 1) Determine the extent to which an application has the technical and financial capacity to successfully complete the Project (ARS §28-399.H).
  - 2) Pursuant to ARS §28-399.J, give preference to applications based on:
    - a) The percentage of matching monies (\$ USD) provided by the Applicant.
    - b) The extent to which the Applicant will partner with other entities to deliver the Project. For the purposes of AZ SMART, partnering with other entities is defined as financial participation (cash monies \$ USD) provided by the partnering entity.
    - c) Any Priority Criteria as deemed appropriate by the Board for the applicable Federal Grant (see [Priority Criteria](#)).
  - 3) Approve, deny, modify or request more information on an application.
  - 4) Redistribute unawarded monies in the Fund in January and July to ensure each category receives a 20% share of the monies (ARS §28-399.N). ADOT will post the amount available for each category on the [AZ SMART website](#) within 30 days after the approval of a redistribution by the Board (ARS §28-399.N).
  - 5) Direct ADOT to close the RFGAA and return applications for a category that has less than \$100,000 available for award (ARS §28-399.O). The closure will remain in effect until the balance of the applicable category recovers to a minimum of \$100,000 through the receipt of other funding, interest earnings, a January or July redistribution, return of funds from rescinded applications or unsuccessful Federal Grant applications, or other means.
  - 6) The Board is required to rescind an award if:
    - a) The Applicant receives funding from another other funding source for the same Project and purpose in an amount equal to or greater than the amount requested or awarded from AZ SMART. Examples of other funding sources include Legislative Appropriations, Congressionally Directed Spending,

funding or grants from federal, state, local or private sources, bond elections and any other source of funding. The Applicant shall repay any monies expended from the AZ SMART Fund within one year after the date of the rescission resolution approved by the Board (ARS §28-339.P).

- b) An Applicant receiving a DOES award fails to submit a Federal Grant application for the Project within 2 years of the Date of Award. The Applicant shall repay any monies to the Fund within 30 days after receiving an invoice from ADOT (ARS §28-339.E.3).
- c) An Applicant receiving a DOES award determines it is no longer pursuing a Federal Grant.

#### **E. Following Board Action**

##### **1. Application Awards.** Unless otherwise determined, ADOT will:

- a. Within 10 days of the Date of Award:
  - 1) Send an email to the contact person listed in the application indicating the action taken by the Board.
  - 2) Sign the Offer and Acceptance for awarded applications and send a copy of the executed RFGAA to each Applicant via email with further instructions related to the Project.
- b. Make Evaluator assessments available for public inspection (ARS §41-2702.G). One or more assessments may be requested through submission of a public records request.
- c. For Projects administered by ADOT:
  - 1) Within 30 days of the Date of Award, invoice the Applicant for excess local funding and initial PDA fees of \$30,000 if these fees are not estimated and identified in the Project Budget.
  - 2) Select consultant(s), contractor(s) and service provider(s) through a competitive solicitation or from the current list of prequalified consultants, based on the needs of the Project.
  - 3) Retain and obligate AZ SMART award funds in the state accounting system, along with any Applicant funds which may be required for the Project.
  - 4) Request the Federal Grant funding be made available in the Federal Management Information System ("FMIS") by USDOT for road and bridge Federal Grant awards, as applicable.
  - 5) Obligate Federal Grant funds awarded by FHWA. Grants from the Federal Transit Administration ("FTA") or other federal agencies may require different processing which will be determined either upon award by the applicable agency or during the review of the Federal Grant Agreement.
  - 6) Reimburse AZ SMART Funds to Direct Recipients or Applicants approved by ADOT to self-administer a Project. Expenditures must be a result of a solicitation that meets Federal Standards. AZ SMART Funds will not be transferred to the Applicant.
  - 7) Release any AZ SMART funding remaining for a Project after completion of the final Project accounting back to the applicable AZ SMART Fund Category from which the funds were awarded.



d. **DOES Awards.** Applicants receiving an award for DOES shall:

- 1) Remit any required funds within 30 days of receipt of an invoice from ADOT.
- 2) Respond to all requests from ADOT within 10 days.
- 3) Submit proof of submission of a Federal Grant Application within 2 years of the Date of Award of the AZ SMART grant. Acceptable sources include the email confirmation from the applicable grant submission portal or system, or an email from the federal agency acknowledging receipt of the federal grant application.
- 4) Direct Recipients and Applicants approved by ADOT to self-administer a Project pursuant to an AZ SMART award for DOES shall:
  - a) Procure any consultant(s), contractor(s) and service provider(s) under solicitation(s) which include the applicable provisions to ensure the resulting expenditures meet Federal Standards.
  - b) Enter into an agreement with consultant(s) and contractor(s) and be solely responsible to make payments directly to the consultant or contractor prior to submitting to ADOT for Reimbursement of Eligible Expenditures.
  - c) Submit for Reimbursement from AZ SMART at least quarterly but not more than monthly.

e. **Match awards for a Federal Grant.** Match awards shall comply with the following:

- 1) Match awarded for a Project that is the subject of multiple AZ SMART applications, each identifying a different Federal Grant, shall be applied to the first Federal Grant received by the Applicant. Any additional AZ SMART applications for the same Project for subsequent Federal Grants shall become invalid, removed from the current or future application round, and no data, information or documents will be retained by ADOT.
- 2) PDA fees will apply to Projects receiving an award for Match if:
  - a) Any design work is included in the scope awarded under a Federal Grant, or
  - b) The Applicant requests ADOT to administer the Project.
- 3) An Applicant awarded a Federal Grant shall:
  - a) Within 10 business days of the announcement of the awards, notify ADOT of the award by sending an email to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and attach or provide a link to the public award announcement.
  - b) Provide the draft Federal Grant Agreement to ADOT within 10 days of receipt and work with ADOT to finalize it, as necessary.
  - c) Provide the final executed Federal Grant Agreement to ADOT within 10 days of execution.
  - d) Construction administration fees will apply for construction projects administered by ADOT, whether contemplated in the federal grant agreement or requested at a later date.
- 4) An Applicant which is not awarded a Federal Grant shall, within 10 business days of the announcement of the awards, notify ADOT no grant was awarded by sending an email to [azsmart@azdot.gov](mailto:azsmart@azdot.gov). Any Match funds awarded from AZ SMART for the Federal Grant will be returned to the applicable Funding

Category to be used for other awards.

- 5) Direct Recipients and Applicants approved by ADOT to self-administer a Project pursuant to an AZ SMART award for Match shall:
  - a) Procure all consultant(s), contractor(s) and service provider(s) under solicitation(s) which meet Federal Standards.
  - b) Enter into an agreement with consultant(s) and contractor(s) and be solely responsible to make payments directly to the consultant or contractor prior to submitting to ADOT for Reimbursement of eligible expenditures.
  - c) Submit for Reimbursement from AZ SMART at least quarterly but not more than monthly.
- f. **Grant Development and Submission (“GDS”) awards.** An Applicant awarded GDS shall:
  - 1) Procure the applicable consultants, contractors and services. The AZ SMART statute does not require GDS expenditures to meet Federal Standards.
  - 2) Enter into an agreement with consultant, contractor and service provider and be solely responsible to make payments directly to the consultant, contractor or service provider prior to submitting to ADOT for Reimbursement for the match share of Eligible Expenditures.
  - 3) Submit a Federal Grant application within 6 months of the Date of Award.
  - 4) Request Reimbursement for some or all GDS expenditures within 6 months of the Date of Award.

## 2. **Denied Applications.**

Within 10 business days of the Board decision to deny an application:

- a. ADOT will send an electronic notification to the contact person listed in the application indicating the Application was denied by the Board.

The Application shall become invalid and no data, information or documents will be retained by ADOT. The Applicant may submit another application for the Project in the future.

- b. Neither ADOT nor the Board shall bear any responsibility for any consequences arising from the decision to deny an AZ SMART award or the deletion of data, information, or documents.

## 3. **Modified Applications.**

Within 10 business days of the Board decision to modify an application:

- a. ADOT will send an electronic notification containing the amounts awarded by the Board to the contact person listed in the Application.
- b. The contact person is required to accept or decline the modified award within 5 business days by replying to the email from ADOT. If the Applicant does not reply within 5 business days, the award will be invalid and the monies will be returned to the AZ SMART Fund to be used for the next highest-ranking application.
- c. If the Applicant accepts the modified award, ADOT will:

- 1) Within 10 business days, sign the Offer and Acceptance and send a copy of the executed RFGAA to the Applicant via email with further instructions related to the Project.
  - 2) Within 30 days, invoice the Applicant for excess local funding and initial PDA fees of \$30,000 if not included in the Application.
- d. The Applicant shall take such steps as indicated in the notification by the deadlines provided.
  - e. Neither ADOT nor the Board will bear any responsibility for an award that is less than the amount requested. Applicants receiving a modified award may re-apply for the balance of the award if funding becomes available at a later time. Subsequent applications for the same Project and same Eligible Use will be scored and ranked based on the Priority Criteria in effect at the time.
  - f. The Applicant is responsible for all costs associated with the Project exceeding the amount awarded by the Board.

#### **4. Board Request for More Information.**

Within 10 business days of a request for more information from the Board:

- a. ADOT will send an electronic notification containing a list of additional information or documents requested by the Board to the contact person listed in the Application.
- b. The Applicant is required to provide the requested information or documentation within 10 business days by replying to the email from ADOT. If the Applicant does not reply within 10 business days, the Application will be invalid and no data, information or documents will be retained by ADOT. The Applicant may submit another application for the Project in the future after addressing any issues which may have resulted in the Board's request for information provided that funding is available.
- c. Neither ADOT nor the Board shall bear any responsibility for delays arising from the request for, or consideration of, additional information.

#### IV. **FEDERAL GRANTS APPLICATIONS**

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

##### **A. Preparing a Federal Grant Application**

ADOT does not provide grant development or writing services. Further, ADOT's grant writing contracts are specific to ADOT and are not available to other entities. Applicants are responsible for developing, preparing, or generating data, narratives, explanations, charts/graphs, cost estimates or any other information in response to a NOFO/NOFA for a Federal Grant application.

##### **B. Submitting a Federal Grant Application**

1. Road, bridge and rail - The AZ SMART Fund application includes a question regarding how the Applicant intends to submit the Federal Grant application. Applications for many road, bridge and rail Federal Grants can be submitted by the Applicant or its grant consultant. If the Applicant is not eligible to 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 is required to submit the ADOT Grant Coordination Support Request Form at <https://apps.azdot.gov/files/mvd/mvd-forms-lib/42-0103.pdf>.
  - b. At least seven (7) days before the NOFO/NOFA deadline, all completed application materials must be provided to the ADOT Grant office for submission.
2. Transit - Pending further direction provided in a NOFO/NOFA, applications for most transit Federal Grants must be submitted to FTA by ADOT on Applicant's behalf.
  - a. At least thirty (30) day prior to the application deadline in the NOFO/NOFA for the applicable Federal Grant, the Applicant is required to submit the ADOT Grant Coordination Support Request Form at <https://apps.azdot.gov/files/mvd/mvd-forms-lib/42-0103.pdf>. In addition, the completed application is to be provided to the ADOT Grant office for submission a minimum of seven (7) calendar days before the NOFO/NOFA deadline.
  - b. If the Applicant is a direct recipient for transit purposes, it may be required to apply for a transit grant directly at <http://grants.gov>. If awarded a Federal Grant, the direct recipient may also be required to submit an application in the Transit Award Management System ([TrAMS](#)).
  - c. Grants from the Federal Transit Administration ("FTA") may have different or additional requirements. Contact the FTA Grants Office for further information.
3. Rail
  - a. Projects pursuing a Federal Grant from the Federal Rail Administration ("FRA") may have different requirements for environmental clearance. Applicants will need to work with a lead federal agency to complete environmental clearance prior to applying for a Federal Grant. Contact the FRA Grants Office for further information.

- b. Rail Applicants should ensure they have informed and/or are working with the host railroad and potential operators prior to applying to AZ SMART. Of the 5 Letters of support which may be uploaded in the AZ SMART application, Applicants for rail projects should include a letter from the host railroad or operators.

## **V. PRIORITY CRITERIA AND SCORES**

Pursuant to the requirements in ARS §41-2702.B.6, this section identifies the criteria under which applications will be evaluated for award and the relative importance of each criterion. See the Priority Criteria and Scores table.

### **A. Deemed appropriate for every application**

Pursuant to ARS §28-399.J, the following priority criteria have been deemed appropriate and approved by the Board to be used for every Federal Grant – see Figure 5. Every application will be scored and ranked based on the Priority Criteria and point scale described below. Total possible points are 53.

### **B. Scores and rankings**

Pursuant to ARS §41-2702.F, at least three qualified individuals shall score each Administratively Complete Application and shall rank all Applications based on the total scores. The scores and rankings shall be confidential until the applications have been scored and ranked. The applications, scores and rankings will become public information when included in the meeting materials for the applicable PPAC meeting.

There is no “good,” “bad,” or minimum score or ranking required in order for applications to be presented to PPAC and the Board. Pursuant to ARS §28-339.K and ARS §41-2702.I., at its discretion, the Board may choose to affirm, modify or reject the scores and rankings, or request more information on an application. If the Board does not accept the Evaluators’ scores, the Board will document the specific justifications for the action taken which will be incorporated into the minutes of the applicable Board meeting.

### **C. Priority Criteria and Order of importance**

The Priority Criteria are discussed below in descending order of importance:

#### **1. Project includes safety improvement(s)**

Safety should be a consideration for every project based on the [Strategic Highway Safety Plan](#). Points will be assigned for safety based on the following scale:

- a. Project addresses more than one of the below: 15 points
- b. Project addresses safety of non-motorized users: 10 points
- c. Project addressed intersection safety: 5 points
- d. Project addressed roadway lane departures: 5 points
- e. Project addressed other safety factors: 5 points
- f. Project does not address safety improvements: 0 points

#### **2. Evidence of public support for the Project**

Projects are not required by state statute or most Federal Grants to be in a Transportation Improvement Program (“TIP”). However, projects listed in a TIP, General Plan or Capital Improvement Program (“CIP”) generally have been identified, analyzed, reviewed and approved in a public process and have support of the public in the municipality or county in which the Project is located.

For scoring purposes, if a project is contained in more than one of the documents listed, the one with the highest point value will be used; additional points will not be provided for additional documents. Points will be assigned for public support based on the following scale:

- a. An approved Regional or Tribal Transportation Improvement Program: 15 points
- b. The current ADOT 5-yr Program: 15 points
- c. Municipality or County General Plan, Capital Improvement Program or other current, publicly adopted capital plan: 10 points
- d. Discussed in public meetings or study sessions of the jurisdiction(s) in which **Project** is located within the last 12 months: 5 points
- e. None of the above: 0 points

### 3. **Population of city/town or county in which Project is located<sup>2</sup>**

Smaller jurisdictions generally have fewer resources to participate financially in a Federal Grant. To ensure smaller jurisdictions are not penalized due to limited abilities to contribute financially to a Project (see criterion #6), higher points will be assigned for smaller populations. See [AZ SMART Eligibility by Population](#) for population and certain eligibilities for the program.

Points will be based on the jurisdiction in which the Project is located. If the Project spans multiple jurisdictions, the one in which the largest percentage of the Project is located will be used. Points will be assigned based on the following scale:

- a. **Projects located in a Municipality of less than 10,000 population**
  - 1) Municipalities 0 to 4,999 population 10
  - 2) Municipalities 5,000 to 9,999 population 5
- b. **Projects located in a Municipality with population of 10,000 or more**
  - 1) Municipalities 10,000 to 49,999 population 10
  - 2) Municipalities 50,000 and above 5
- c. **Projects located in a County of less than 100,000 population**
  - 1) Counties 0 to 39,999 population 10
  - 2) Counties 40,000 to 99,999 population 5
- d. **Projects located in a County with population of 100,000 or more**
  - 3) Counties over 100,000 to 149,999 population 10
  - 4) Counties over 150,00 and above 5
- e. **ADOT Projects** (applies only to ADOT applications) NA

### 4. **Long-term impacts**

Consideration of life cycle costs to maintain any new, or improvements to, infrastructure funded by AZ SMART should be discussed, as these costs will impact an Applicant's budget and operations in the future. Likewise, anticipated long-term impacts for non-infrastructure Projects may require further study, implementation or other actions. These impacts should be addressed to demonstrate AZ SMART monies are used to fund Projects that can be maintained or implemented.

Points will be assigned based on the following scale:

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<sup>2</sup> Pursuant to ARS §28-339.Q.2, population is as determined in the most recent decennial census certified by the United States census bureau, currently the 2020 Census.



- a. **Infrastructure Projects** - Description of how the life cycle cost will be managed is included with application for an infrastructure project: 5 points
- b. **Non-infrastructure Projects** - Description of long-term outcomes for a non-infrastructure project is included with application: 5 points
- c. Description is not included with application: 0 points

5. **Percent (whole numbers only) of cash monies provided by the Applicant**

These monies are directly from the ***Applicant's funds*** and DO NOT INCLUDE THE AMOUNT REQUESTED FROM AZ SMART, CDS, A LEGISLATIVE APPROPRIATION OR OTHER SOURCE. The percentage of the cash match provided by the Applicant shall be calculated as follows:  $x \div y = z$ , where

x = Total dollar amount of non-federal, cash monies to be provided by the Applicant in the Federal Grant. Do not include amount requested from AZ SMART, CDS, Legislative Appropriations or other outside source.

y = Total Project Budget Estimate provided by the Applicant (including contingencies, PDA fees, and any other applicable costs).

z = Percentage of matching funds provided by the Applicant.

Points will be assigned based on the following scale:

- a. 51% to 75% or higher: 3 points
- b. 26% to 50%: 2 points
- c. 25% or less: 1 point
- d. 0%: 0 points

6. **The extent that the Applicant will partner with other entities to deliver the Project**

The extent to which an Applicant is partnering with other entities will be determined based on the number of letters of support submitted for the Project. Letters of support should be from other entities which may be contributing funds to, and the users and stakeholders supporting, the project. Applicants for rail projects should include a letter from the host railroad and potential operator(s). **ADOT does not provide letters of support for AZ SMART projects.** A maximum of 5 letters of support will be accepted; additional letters cannot be uploaded to the Application and will not be considered.

Points will be assigned based on the following scale:

- a. Five Letters of Support: 5 points
- b. Four Letters of Support: 4 points
- c. Three Letters of Support: 3 points
- d. Two Letters of Support: 2 points
- e. One Letter of Support: 1 point
- f. No Letter of Support: 0 points

#### **D. Breaking Tied Rankings**

In case of tied application rankings:

1. The tied application with the higher score under Priority Criteria 1 shall have priority over other applications.
2. If the tied applications have the same score under Priority Criteria 1, the application with the higher score under Priority Criteria 2 shall have priority over the other applications.
3. If the tied applications have the same score under Priority Criteria 1 and 2, the application with the higher score under Priority Criteria 3 shall have priority over the other applications.
4. If the tied applications have the same score under Priority Criteria 1 through 3, the application with the higher score under Priority Criteria 4 shall have priority over the other applications.
5. If the tied applications have the same score under Priority Criteria 1 through 4, the application with the higher score under Priority Criteria 5 shall have priority over the other applications.
6. If the tied applications have the same score under Priority Criteria 1 through 5, the application with the higher score under Priority Criteria 6 shall have priority over the other applications.
7. If tied applications have the same score under all Priority Criteria, the Board shall determine the priority of the applications.

Figure 5

Figure 3

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
3. Population of city/town or county in which Project is located – 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.		
a. Projects located in a Municipality of less than 10,000 population		
1) Municipalities 0 to 4,999 population		10
2) Municipalities 5,000 to 9,999 population		5
b. Projects located in a Municipality with population of 10,000 or more		
1) Municipalities 10,000 to 49,999 population		10
2) Municipalities 50,000 and above		5
c. Projects located in a County of less than 100,000 population		
1) Counties under 40,000 population		10
2) Counties 40,001 to 100,000 population		5
d. Projects located in a County with population of 100,000 or more		
1) Counties over 100,000 to 149,999 population		10
2) Counties over 150,000 and above		5
e. ADOT Projects (applies only to ADOT applications)		NA
4. Long-term Impacts		
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
5. The percent (whole numbers only) of cash monies provided by Applicant		
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
6. Extent that Applicant will partner with other entities to deliver Project		
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

## **VI. REQUESTING REIMBURSEMENT FROM AZ SMART**

- A. All payments of AZ SMART Funds for DOES and Match will be made on a reimbursement basis for those expenditures which meet Federal Standards.
- B. Reimbursement will not be made without evidence of a previous, valid expenditure and proof of payment.
- C. Reimbursement will not be made for DOES or Match expenditures which do not meet Federal Standards, or which are ineligible under AZ SMART, the current NOFO/NOFA or the federal statutes establishing the Federal Grant.
- D. The amount Reimbursed for an AZ SMART award will not exceed the actual Eligible Expenditures incurred and paid by the Applicant, regardless of the amount awarded by the Board.
- E. At least quarterly and no more than monthly, the Applicant shall submit to [azsmart@azdot.gov](mailto:azsmart@azdot.gov):
  - 1. An invoice(s) on the Progress Payment Report Form.
  - 2. Vendor invoices the Applicant has paid prior to requesting reimbursement.
  - 3. Proof of payment such as check copies, wire instructions or other evidence of payment to the consultant(s), contractor(s) or service provider(s) for expenditures related to the Project.
  - 4. Procurement contract or solicitation under which the expenditures were incurred. The contract or solicitation must demonstrate the expenditures meet Federal Standards. DOES and Match expenditures which do not meet Federal Standards will not be reimbursed.
  - 5. Other documentation requested by ADOT to determine the eligibility of costs incurred.
- F. Requests for reimbursement of Match from AZ SMART further:
  - 1. Will be made after the applicable federal agency has reimbursed the federal share.
  - 2. Require proof of reimbursement from the applicable federal agency. This may be an email indicating approval of a reimbursement request or other documentation from the agency which clearly identifies:
    - a. the date and amount of the reimbursement,
    - b. the name of the Federal Grant,
    - c. the name of the Project,
    - d. the invoice number assigned by the federal agency.
    - e. ADOT may contact the federal agency to resolve questions or issues related to the Applicant's AZ SMART reimbursement request.

G. Requests for reimbursement for GDS further:

1. Require proof of submission of a federal discretionary grant application. The Applicant is responsible for obtaining proof of submission. Acceptable sources include a copy of the acknowledgement of receipt or an email confirming receipt of the submitted grant from the applicable federal agency or grant submission website.
2. Must be submitted within 6 months of the Date of Award for at least some, if not all, eligible expenditures.
3. ADOT may confirm submission with the applicable federal agency.
4. GDS invoices will be reimbursed for eligible costs actually incurred by the Applicant at a pro rata of 50%, not to exceed the amount of AZ SMART Funds awarded by the Board.

H. Requests for reimbursement for in-kind expenses shall comply with the following:

1. The amount of in-kind expenses must be identified in the AZ SMART application.
  2. The expenses must be incurred after September 14, 2024.
  3. The costs must be tracked by, and verifiable from, the Applicant's records such as time sheets. Submission of these records will be required for reimbursement.
  4. The in-kind expenditures shall not be counted as contributions for any other state or federal award.
  5. The activities and expenditures shall be necessary and reasonable for accomplishment of GDS.
- I. Upon confirming the expenditures are to federal standards, qualify for and have received federal reimbursement, the Applicant has fully paid the vendor and the documents are valid and complete, ADOT will reimburse the Applicant for the AZ SMART share within 30 days of approval of the reimbursement request.

## VII. SPECIAL TERMS AND CONDITIONS

- A. By applying for an AZ SMART award pursuant to this RFGAA, Applicants understand and agree to all of the following:
1. **Conflicts of Provisions.** In the event of an internal conflict between any term, condition, or provision in this RFGAA, the following shall prevail in the order listed below
    - a. ARS §28-339
    - b. Definitions
    - c. Special Terms and Conditions
    - d. Standard Terms and Conditions
    - e. Specifications
  2. **Administrative Completeness.** Only Administratively Complete applications will receive a Courtesy Technical Review, be evaluated and be presented to PPAC or the Board.
  3. **Funding from another source.** An Applicant awarded AZ SMART funds that later receives funding from another source for the same purpose in an amount equal to or greater than that awarded by AZ SMART shall:
    - a. Notify ADOT via email to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) that the Applicant has received other funding within 10 days of the announcement or notification of award of such funds. Upon receipt of the notification, the Board shall rescind the award (ARS §28-339.P).
    - b. Repay any AZ SMART Funds which have been reimbursed to the Applicant or expended by ADOT on the Applicant's behalf within 1 year of the date of the rescission resolution approved by the Board. ADOT will invoice the Applicant upon determining the amount due (ARS §28-339.P).
  4. **Project Development Administration ("PDA") Fees.** All Projects administered by ADOT shall be subject to PDA fees. PDA Fees are eligible expenditures for AZ SMART provided they are included in the Project Budget submitted by the Applicant. ADOT will invoice Applicants for an initial amount of \$30,000. Applicants understand additional PDA funds may be required, particularly for complex projects or those which are not well-developed and agree to pay such funds within 30 days of receipt by ADOT.
  5. **Applicant Responsible for All Costs.** Applicants are responsible for all costs which exceed the amount of an AZ SMART Fund or Federal Grant award, including cost increases due to inflation, underestimating, unforeseen conditions, increase in cost of materials, and any other increase.
  6. **Award is not a Notice to Proceed.** Board approval and execution of this RFGAA is not a Notice to Proceed (NTP) and does not constitute permission to begin work. For road or bridge projects, the Applicant must request and receive Funding Authorization and a NTP, as applicable, from the ADOT Project Manager ("PM") for each project phase in advance of the start of work. For transit or rail projects, AZ SMART funds must be authorized by ADOT prior to the start of work.

7. **Project Scope, Schedule, and Budget.** The Applicant is responsible for developing its own Project Scope, Project Schedule and Project Budget cost estimates, hiring any necessary experts and conducting its own Federal Grant research. ADOT provides Courtesy Technical Reviews and information on the [AZ SMART website](#), verbally or in meetings or webinars about Federal Grants and tools to develop project scope, schedule and budget. The review, information and tools are provided as a courtesy only and do not purport to be complete or sufficient for every Project.
8. **Limited Funding.** Funding in one or more categories may be insufficient and the Board may modify the amount awarded to one or more Applicants. Neither ADOT nor the Board will bear any responsibility for an award that is less than the amount requested. Applicant receiving a modified award may re-apply for the same purpose if funding becomes available at a later time. Subsequent applications for the same Project and same Eligible Use will require a new Application to be submitted during an open RFGAA solicitation and will be scored and ranked based on the Priority Criteria in effect at the time.
9. **Supplanting Committed Funding for Federal Grants.** Applicants are required to commit matching funds for a Federal Grant in a Federal Grant application. AZ SMART Applicants that have already applied for or received a Federal Grant understand the Board may prioritize applications which supplant funding lower than those for future Federal Grant applications.
10. **Readiness to Proceed.** Applicants must be ready to proceed with the Eligible Use(s) within 60 days after Board approval of 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.
11. **Delay of Awards.** By applying for an AZ SMART grant, Applicants understand that a request for more information by the Board may delay Board approval to a subsequent Board meeting.
12. **Right of Way.** The Applicant hereby certifies:
  - a. All necessary rights of way have been or will be acquired prior to advertisement for bid and also certify that all obstructions or unauthorized encroachments of whatever nature, either above or below the surface of the Project area, shall be removed from the proposed right of way, or will be removed prior to the start of construction, in accordance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 as amended; 49 CFR 24.102 Basic Acquisition Policies; 49 CFR 24.4 Assurances, Monitoring and Corrective Action, parts (a) & (b) and ADOT Right of Way Procedures Manual: 8.02 Responsibilities, 8.03 Prime Functions, 9.06 Monitoring Process and 9.07 Certification of Compliance. Coordinate with the appropriate State's Right of Way personnel during any right of way process performed by the Applicant, if applicable.
  - b. It has adequate resources to discharge the Applicant's real property related responsibilities and ensures that its Title 23-funded projects are carried out using the FHWA approved and certified ADOT Right of Way Procedures Manual and that it will comply with current FHWA requirements whether or not the requirements are included in the FHWA approved ADOT Right of Way Procedures Manual (23 CFR



710.201). Additionally, the Applicant certifies that all real estate related activities requiring licensure are performed by licensed individuals as defined by the Arizona Department of Real Estate (A.R.S. §§ 32-2121 & 32-2122).

- c. It will not permit or allow any encroachments on or private use of the right of way, except those authorized by permit. In the event of any unauthorized encroachment or improper use, the Applicant shall take all necessary steps to remove or prevent any such encroachment or use. The Applicant shall provide a copy of encroachment permits issued within the Project limits to the State.
- d. It will automatically grant to the State, by execution of this RFGAA, its agents and/or contractors, without cost, the temporary right to enter the Applicant's rights of way, as required, to conduct any and all construction and preconstruction related activities for the Project, on, to and over said Applicant's rights of way. This temporary right will expire with completion of the Project.

13. **Utilities and Railroads.** The Applicant shall investigate and document utilities within the Project limits; submit findings to ADOT determining prior rights or no prior rights; approve a location within the final right of way to re-establish the prior rights location for those utilities with prior rights.

14. **Applying for Projects on ADOT routes.** Applicants pursuing Projects that are not in the current Five-Year Program are hereby notified:

- a. Projects programmed on ADOT's system in the Five-Year Construction Program have been scored, prioritized as required by ARS §28-6951, and programmed based on the Planning to Programming ("P2P") process.
- b. An AZ SMART award may not result in the advancement of a Project that is not in the current Five-Year Construction Program, will not be ready to proceed within 2 years, or supplants the prioritization required by law.
- c. Applicants for Projects on ADOT's routes will be solely responsible for the costs of all phases of the Project which exceed the amount awarded from AZ SMART or a Federal Grant. Applicants are solely responsible for applying for an appropriate Federal Grant as required under this RFGAA.
- d. Unless otherwise determined, ADOT will administer design, right of way, construction and all other phases of Projects on ADOT routes, even if the NOFO/NOFA allows a Direct Recipient option.
- e. PDA and construction administration fees will apply and shall be paid by the Applicant within 30 days of receipt of an invoice from ADOT.

15. **Information to Determine Eligibility.** The Applicant is solely responsible for providing clear and concise information sufficient to enable ADOT to determine if the Project meets the requirements of the current NOFO/NOFA or the federal statutes establishing the Federal Grant. Neither ADOT nor the Board shall bear any responsibility for decisions made based on the information provided by the Applicant.
16. **Determination of Eligibility.** A determination of eligibility of an Applicant or Project for AZ SMART does not mean the applicable federal agency will agree with such determination for a Federal Grant. Neither ADOT nor the Board will be responsible if a Project or Applicant are later determined to be ineligible for the selected Federal Grant. If an Applicant awarded DOES funds does not submit a Federal Grant application, the Board is required to rescind the award and the Applicant is required to repay any DOES expenditures within 30 days of receipt of an invoice from ADOT.
17. **One Project and one Federal Grant.** Each AZ SMART Fund application shall address only one specific Project and one Federal Grant to be pursued for that Project.
18. **Additional applications.** Applicants may submit more than one Project for AZ SMART. Each Project requires the completion and submission of a separate AZ SMART Fund application, governing body resolution and COG/MPO approval.
19. **More than one Eligible Use.** Applicants may request funding for more than one Eligible Use in a single application provided all Eligible Uses are related to the same Project and the same Federal Grant. DOES and Match requests shall meet Federal Standards.
20. **No Other Use Allowed.** An AZ SMART Fund award may not be used for purposes, projects or Federal Grants other than those identified in the AZ SMART Fund application approved by the Board.
21. **Applicant Vendors.** Consultant(s), contractor(s) and service provider(s) hired by the Applicant prior to receiving an AZ SMART award must be on contract to ADOT or selected in a competitive procurement by ADOT to continue work on the Project. Being on ADOT contract does not guarantee selection.
22. **Allowable Project Changes.** Changes to Project work types, materials, methods, delivery methods, length, and other changes which vary from the Project Scope submitted in the Application are acceptable, provided the Project continues to address the Purpose and Need identified in the Application. Allowable Project changes shall comply with the following:
  - a. Applicants shall bear all costs associated with allowable Project changes, including materials costs, contract penalties, and any other costs.
  - b. A Change in Scope will invalidate the AZ SMART award. The Board will rescind the award and the Applicant will repay any AZ SMART Funds expended to date within 30 days of receipt of an invoice from ADOT. Any remaining AZ SMART Funds will be returned to the applicable Funding Category.

23. **Federal Grant Agreement Changes.** Changes in a Federal Grant Agreement for a Project awarded match from AZ SMART may require an amendment to this RFGAA or require further approval by the Board and/or Applicant's governing body depending on the magnitude of the change. Direct Recipients for a Federal Grant shall provide any changes to the Federal Grant Agreement to ADOT prior to the execution of documentation approving such change.
24. **Applicant Names Posted Online.** Pursuant to ARS §41-2702.E, the name of each Applicant shall be publicly read, recorded and posted on the [AZ SMART website](#). All other information in the grant application is confidential during the process of evaluation. All applications shall be open for public inspection after the evaluation process, with the exception of Confidential Information.
25. **Confidential Information.** To the extent an Applicant designates and the State concurs, trade secrets and other proprietary information contained in the Application shall remain confidential. The Applicant shall clearly identify any trade secrets or other proprietary information which is to remain confidential by stamping or marking the pages/information with "**CONFIDENTIAL**" in bold capital letters.
26. **Inactive Funding.** All Projects receiving AZ SMART awards are subject to ADOT policy FIN-8.01, regarding timely obligation and expenditure of funds. Direct Recipients and Applicants approved by ADOT to self-administer a Project shall request Reimbursement at least quarterly but not more than monthly to ensure the AZ SMART funding is deployed in a timely manner for the benefit of the transportation system.
27. **Applicant participation required.** The Applicant shall be an active participant in the development and/or construction of the Project. ADOT administration does not relieve the Applicant from actively participating in meetings, reviewing and commenting on documents or any other actions or responsibilities of a sponsoring entity related to the Project.
28. **Changes or Exceptions.** Any change proposed to this RFGAA from the original contents or exceptions to terms and conditions shall be identified and submitted with the Applicant's Proposal. Changes are subject to approval by ADOT and are not guaranteed.
29. **Application Closure by the Board.** The Board may direct ADOT to close applications for any Funding Category if the Board determines funding is insufficient. Unawarded applications will be returned to the Applicants (ARS §28-399.O).
30. **Accuracy of data, information and documents.** Applicants are solely responsible for the accuracy of any data, information and documents included in the Application. Neither ADOT nor the Board shall bear any responsibility for decisions made based on such data, information and documents.

31. **Questions and Answers webpage.** All questions regarding the RFGAA, including requests for clarifications, questions about application information, proposal process, etc., shall be in writing and submitted to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) at least 10 business days before the Application Deadline. No letters, telephone calls or emails submitted to any other email address will be addressed. Amendments, clarifications or other information related to this RFGAA will be posted on the Questions and Answers page on the [AZ SMART website](#). The Authorized Representative is required to certify he/she has read and understands this information in the Offer and Acceptance form.

32. **Inspection.** All Projects receiving AZ SMART Fund awards are subject to inspection.

## B. Tribal Provisions

The following terms and conditions relate only to federal recognized Indian Tribal Applicants.

1. **Limited Waiver of Sovereign Immunity.** For purposes of this RFGAA, and subject to the terms of this section, a Tribal Applicant consents and agrees to a limited waiver of its sovereign immunity from suit and consents to be sued on an arbitration award. The Tribal Applicant represents that this limited waiver of sovereign immunity has been duly approved by the Applicant's Tribal Council, as authorized by the Arbitration and Sovereign Immunity Acts of the applicable Tribe. The Tribal Applicant is not waiving its right to assert the defense of sovereign immunity except as expressly set forth, referred to, and provided for, in this RFGAA. This limited waiver is enforceable solely by the State as limited hereunder and does not create any additional third-party beneficiary rights to suits or private causes of action in favor of third parties. This section provides a limited waiver of sovereign immunity solely for the purpose of enforcing the provisions of this RFGAA and enforcing any arbitration award hereunder and for no other purpose.
2. **Dispute Resolution.** In the event of a dispute, claim or controversy ("Dispute") arising out of or related to this RFGAA, the Parties agree that it is in their mutual best interest to meet as promptly as possible for the purpose of informally resolving said Dispute. In the event the Parties cannot resolve their Dispute informally after attempting to work in good faith, the Parties hereto agree to abide by arbitration as set forth below and that an order compelling arbitration or a judgement enforcing the arbitration award shall be the only relief of any kind provided by the State or Tribal court.
3. **Arbitration.** If a party in good faith concludes that a Dispute arising out of or related to this RFGAA is not likely to be resolved by informal dispute resolution then, upon notice by that Party to the other, said Dispute shall be finally and exclusively settled by submission of such Dispute to the American Arbitration Association ("AAA") under its then prevailing procedural rules contained in the AAA's Commercial Arbitration Rules to the extent that such rules shall not be interpreted to diminish, limit, or void the limited waiver of sovereign immunity set forth in Section 14 above or to increase the enforcement rights of the Parties. Within 10 days after the notice of intent to arbitrate, each party shall select one person to act as arbitrator and the two selected shall select a third arbitrator within 10 days of their appointment. The third arbitrator shall be a practicing attorney, actively engaged in the practice of law for at least 10 years and a member in good standing of the bar of the State of Arizona. Alternatively, the third arbitrator may be a retired judge of the federal court or the trial court of the State of Arizona. At least one of the arbitrators shall be knowledgeable with federal Indian law and one arbitrator shall have AAA-acknowledged expertise in the appropriate subject matter. By agreement of the Parties, when the amount in controversy renders the cost of three arbitrators unreasonable, the Parties may agree to select a single arbitrator to

resolve a dispute. All arbitration proceedings shall be held in Maricopa County, or at such other place as shall be agreed by the Parties.

4. **Award.** The award shall be made within 60 days of the filing of the notice of intent to arbitrate, and the arbitrators shall agree to comply with the schedule before accepting appointment. However, this time limit may be extended by agreement of the Parties or by the majority of the Parties or by the majority of the arbitrators, if necessary. Any award rendered in any such arbitration proceeding shall be final and binding upon all Parties to the proceeding. Any action to enforce the arbitration award must be filed within 180 days from the issuance of the award.
5. **Governing Law.** This RFGAA, including any claim or dispute arising hereunder submitted to binding arbitration, shall be governed by the laws of the State of Arizona.
6. **Enforcement.** Judgment upon any award rendered by the arbitrators against the Tribal Applicant may be entered in the Tribal Applicant's tribal court system ("Tribal Court") or against the State of Arizona in the Arizona State Court System ("Court System") and interpreted and/or enforced pursuant to the terms of this RFGAA, and/or pursuant to the terms of the AAA's Commercial Arbitration Rules, and/or pursuant to the terms and provisions of the statutes, rules and regulations governing or providing for interpretation or enforcement of judgments applicable in any State of Arizona or Tribal Nation court of the Applicant.

## VIII. STANDARD TERMS AND CONDITIONS

- A. **Effective Date.** This RFGAA shall become effective upon signing and dating of the Offer and Acceptance by ADOT.
- B. **Amendments.** Any change or modification to this RFGAA will only occur with the mutual written consent of both Parties and may require further approval of the Board.
- C. **Duration.** The terms, conditions and provisions of this RFGAA shall remain in full force and effect until completion of the Project and all reports, performance metrics and other information required for the Project have been submitted and related deposits and/or reimbursements are made.
- D. **Cancellation.** This RFGAA may be cancelled at any time by either Party prior to the exchange of any AZ SMART Funds and after 30 days' prior written notice to the other Party. It is understood and agreed that, in the event the Applicant terminates this RFGAA, the Applicant shall be responsible for all costs paid by the State up to the time of termination. It is further understood and agreed that in the event the Applicant terminates this RFGAA, the State shall have no further obligations to reimburse AZ SMART Funds to the Applicant.
- E. **Costs.** The final Project amount may exceed the estimate(s) identified in the Application, and in such case, the Applicant is responsible for, and agrees to pay, any and all actual costs exceeding the amount awarded from AZ SMART. If the final Project amount is less than the initial estimate, the difference between the final Project design amount and the initial estimate will be de-obligated or otherwise released from the Project. Any remaining AZ SMART Funds will be returned to the State. The Applicant acknowledges it remains responsible for actual costs and agrees to pay according to the terms of this RFGAA.
- F. **Indemnification.** The Applicant shall indemnify, defend, and hold harmless the State, any of its departments, agencies, boards, commissions, officers or employees (collectively referred to in this paragraph as the "State") from any and all claims, demands, suits, actions, proceedings, loss, cost and damages of every kind and description, including reasonable attorneys' fees and/or litigation expenses (collectively referred to in this paragraph as the "Claims"), which may be brought or made against or incurred by the State on account of loss of or damage to any property or for injuries to or death of any person, to the extent caused by, arising out of, or contributed to, by reasons of any alleged act, omission, professional error, fault, mistake, or negligence of the Applicant, its employees, officers, directors, agents, representatives, or contractors, their employees, agents, or representatives in connection with or incident to the performance of this RFGAA. The Applicant's obligations under this paragraph shall not extend to any Claims to the extent caused by the negligence of the State, except the obligation does apply to any negligence of the Applicant which may be legally imputed to the State by virtue of the State's ownership or possession of land. The Applicant's obligations under this paragraph shall survive the termination of this RFGAA.
- G. **Third-Party Indemnification.** The State shall include Section 107.13 of the 2021 version of the Arizona Department of Transportation Standard Specifications for Road and Bridge Construction, incorporated into this RFGAA by reference, in the State's contract with any and all contractors, of which the Local Agency shall be specifically named as a third-party beneficiary. This provision may not be amended without the approval of the Applicant.
- H. **Liability.** ADOT assumes no liability or financial responsibility for AZ SMART Fund Projects, except as set forth in the Indemnification above, or the information submitted by the Applicant. The Applicant is solely responsible for complying with all applicable laws, rules

and regulations, for any additional funding required to complete the Project and for any claims due to delays, change orders or any other circumstances.

- I. **Summaries.** ADOT may develop and present various summaries of the RFGAA or data and information provided by the Applicant in response to this RFGAA. Such summaries are for convenience only and do not take the place of this RFGAA.
- J. **Federal Funding Accountability and Transparency Act.** The Parties warrant compliance with the Federal Funding Accountability and Transparency Act of 2006 and associated 2008 Amendments (the “Act”). Additionally, in a timely manner, the Applicant will provide information that is requested by the State to enable the State to comply with the requirements of the Act, as may be applicable.
- K. **Single Audit.** The Applicant acknowledges compliance with federal laws and regulations and may be subject to the CODE OF FEDERAL REGULATIONS, TITLE 2, PART 200 (also known as The Uniform Grant Guidance). Entities that expend \$750,000.00 or more (on or after 12/26/14) of federal assistance (federal funds, federal grants, or federal awards) are required to comply by having an independent audit in accordance with §200.331 Subpart F. An electronic copy of the Single Audit is to be sent within the required deadline of nine months of the sub recipient fiscal year end to:  
  
ADOT – FMS  
Attn: Cost Accounting Administrator  
206 S 17th Ave. Mail Drop 204B  
Phoenix, AZ 85007  
[SingleAudit@azdot.gov](mailto:SingleAudit@azdot.gov)
- L. **Audited Financial Statements.** Applicants receiving an AZ SMART award for DOES or Match shall provide an electronic copy of its audited financial statements to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) within three months of the Applicant's fiscal year end until the final Project accounting is complete.
- M. **Governing Law.** This RFGAA shall be governed by and construed in accordance with Arizona laws.
- N. **Conflicts of Interest.** This RFGAA may be cancelled in accordance with A.R.S. § 38-511.
- O. **Records.** The Applicant is required to retain all books, accounts, reports, files and other records relating to this RFGAA for a period of five years after the date of the final payment of AZ SMART Funds from ADOT. Such records shall be produced by the Local Agency, electronically or at the State office as set forth in this RFGAA, at the request of ADOT or the State Auditor General.
- P. **Audit.** All books, accounts, reports, files and other records relating to this RFGAA shall be subject to inspection and audit. The State may refer Projects to the State Auditor General or ADOT's Internal Audit unit in cases of suspected misuse of AZ SMART Funding.
- Q. **Title VI.** The Applicant acknowledges and will comply with Title VI of the Civil Rights Act of 1964.

This Agreement is subject to the provisions of Title VI of the Civil Rights Act and the Applicant is herein notified of such. All contracts between ADOT and its contractors for



completing the work designated in this Agreement will include the following statement in addition to Appendix A and Appendix E of its ADOT Signed Title VI Assurances, available at <https://azdot.gov/business/civil-rightsexternal-eeo-contractor-compliance/title-vi-nondiscrimination-program/title-vi>:

The Arizona Department of Transportation, in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252.42 U.S.C. §§ 2000d-4), the Americans with Disabilities Act (ADA) and the Regulations, hereby notifies all bidders that it will affirmatively ensure that any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full and fair opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, national origin in consideration for an award.

For self-administered projects receiving DOES funding, additional certifications may be required (see <https://azdot.gov/sites/default/files/media/2021/06/Blank-FHWA-Title-VI-Assurances-Subrecipient-uneditable.docx> or most current version; document will download when the link is clicked).

- R. **Non-Discrimination.** This RFGAA is subject to all applicable provisions of the Americans with Disabilities Act (Act) (Public Law 101-336, 42 USC. 12101-12213) and all applicable Federal regulations under the Act, including 28 CFR Parts 34 and 36. Applicants shall not discriminate against any employee or applicant for employment in violation of Federal Executive Order 11246 as amended, Arizona STATE Executive Order 2009-09, as amended by amended by STATE Executive Orders 2023-01 and 2023-09 issued by the Governor of the State of Arizona and incorporated herein by reference regarding “Non-Discrimination”, or Arizona Revised Statutes §§ 41-1461 through 1465, and all other applicable STATE and federal employment laws, rules and regulations.
- S. **Israel Boycott Not Permitted.** The Applicant warrants that it is not engaged in a boycott of Israel as defined in A.R.S. 35-393 et seq.
- T. **Forced Labor of Ethnic Uyghurs Ban.** Pursuant to A.R.S. § 35-394, the Applicant warrants and by signing this Agreement so certifies that it does not currently, and agrees for the duration of the contract that it will not use the forced labor of ethnic Uyghurs in the People's Republic of China, any goods or services produced by the forced labor of ethnic Uyghurs in the People's Republic of China, or any contractors, subcontractors or suppliers that use the forced labor or any goods or services produced by the forced labor of ethnic Uyghurs in the People's Republic of China. If the Applicant becomes aware during the term of this Agreement that the Applicant is not in compliance with this certification, the Applicant shall notify ADOT within five business days after becoming aware of the noncompliance, and within 180 days after notice, provide written certification that the Applicant has remedied the noncompliance. This item does not apply to not-for-profit organizations or organizations with fewer than ten (10) full-time employees.
- U. **Non-Availability of Funds.** Every obligation of the State under this RFGAA is conditioned upon the availability of funds appropriated or allocated for the fulfillment of such obligations. If funds are not allocated and available for the continuance of this RFGAA, this RFGAA may be terminated by the State at the end of the period for which the funds are available. No liability shall accrue to the State in the event this provision is exercised, and the State shall not be obligated or liable for any future payments as a result of termination under this paragraph.

- V. **Arbitration.** In the event of any controversy which may arise out of this RFGAA, the Parties agree to abide by arbitration as is set forth for public works contracts if required by A.R.S. § 12-1518.
- W. **E-Verify.** The Parties shall comply with the applicable requirements of A.R.S. § 41-4401.
- X. **Contractor Certifications.** The Applicant shall certify that all contractors comply with the applicable requirements of A.R.S. §§ 35-393.01 and 35-394.
- Y. **Other Applicable Laws.** The Parties shall comply with all applicable laws, rules, regulations and ordinances, as may be amended.
- Z. **Notices.** All notices or demands upon any Party to this RFGAA shall be in writing and shall be delivered electronically, in person, or sent by mail, addressed as follows:
1. **For RFGAA Administration:**  
Arizona Department of Transportation  
Joint Project Agreement Group  
205 S. 17<sup>th</sup> Avenue, Mail Drop 637E  
Phoenix, AZ 85007  
[JPABranch@azdot.gov](mailto:JPABranch@azdot.gov)
  2. **For Project Administration:**  
Arizona Department of Transportation  
Multimodal Planning Division  
Attn: AZ SMART Fund Program  
1611 W Jackson St, MD 310B  
Phoenix, AZ 85007  
602-712-7112  
[azsmart@azdot.gov](mailto:azsmart@azdot.gov)
  3. **For Financial Administration:**  
Arizona Department of Transportation  
Multimodal Planning Division  
Attn: AZ SMART Fund Program  
1611 W Jackson St, MD 310B  
Phoenix, AZ 85007  
602-712-7112  
[azsmart@azdot.gov](mailto:azsmart@azdot.gov)
- AA. **Revisions to Contacts.** Any revisions to the names and addresses above may be updated administratively by either Party and shall be in writing.
- BB. **Electronic Signatures.** This RFGAA may be signed in an electronic format. Pursuant to ARS §44-7031, the signature must be unique to the persons signing the document, capable of verification, under the sole control of the persons using it, and linked to the document so that if the record were changed the electronic signature would be invalid.

## IX. OFFER AND ACCEPTANCE

This Offer must be completed, signed by the Authorized Representative and submitted with the Application. Applications that do not include this completed and signed Offer are not Administratively Complete and will not be further reviewed or processed.

### A. **Offer** - To the State of Arizona:

The Undersigned hereby offers and agrees to furnish the material, service or construction in compliance with all terms, conditions, specifications and amendments in the RFGAA and any written exceptions included with the Application and which are accepted by ADOT.

1. Arizona Transaction (Sales) Privilege Tax License No.:
2. Federal Employer Identification No.
3. Entity:
4. Address:
5. City, State and Zip:
6. For clarification(s) of this Offer, contact the Authorized Representative listed in the Application.

### B. **Certification** – By written or electronic signature on this Offer, the Authorized Representative certifies:

1. I am the Authorized Representative identified in the Application.
2. I have read and understand this RFGAA and the Questions and Answers page on the [AZ SMART website](#).
3. Under penalty of perjury, the information contained herein and attached hereto is true and correct according to the best of my knowledge and belief after a reasonable investigation of the facts.
4. Submission of the Offer did not involve collusion or other anti-competitive practices.
5. The Applicant shall not discriminate against any employee or applicant for employment in violation of Federal Executive Order 11246, State Executive Order 99-4 or A.R.S. §§ 41-1461 through 1465.
6. The Applicant has not given, offered to give, nor intends to give at any time hereafter any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant in connection with the submitted offer. Failure to provide a valid signature affirming the stipulations required by this clause shall result in rejection of the Offer. Signing the Offer with a false statement shall void the Offer, any resulting contract and may be subject to legal remedies provided by law.

**Written or electronic signature of authorized Representative:**

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C. **Acceptance** – The Offer is hereby accepted.

1. State Transportation Board award:
  - a. Date of Award:
  - b. Eligible Use(s) awarded:
  - c. Amount awarded for each Eligible Use:
2. The Applicant is now bound to provide the material, service, or construction listed in the RFGAA, including all terms, conditions, specifications, amendments, etc., and the Contractor's application as approved by the State Transportation Board.
3. This contract shall henceforth be referred to as Contract No. \_\_\_\_\_.
4. The Applicant has been cautioned not to commence any billable work or to provide any material or service under this contract until Applicant receives purchase order, contract release document or written notice to proceed.
5. **Electronic signature of person authorized to accept offer:**

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**State of Arizona**

## **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.<sup>3</sup> 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

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<sup>3</sup> *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.

**“Parties”** means ADOT and the Applicant entering into this RFGAA.

**“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 assets – inventory – prepaid expenses)/Current Liabilities*. 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 herein, the completed Application and any fully executed amendments to this RFGAA.

## **XI. PROJECT NAMING GUIDANCE**

- The Project Name should generally have the form of “Route Number or Road/Street Name,” “Termini 1” to “Termini 2”, in or near an appropriate City.
- Point locations such as intersections should have the form of “Route Number or Road/Street Name” @ “Route Number or Road/Street Name” in or near an appropriate City. Bridges and similar features should take the form of “Route Number or Road/Street Name” over a River, Wash, Railroad or other feature in or near an appropriate City.
- Information shown in the Project Name should be information likely to be useful for persons not familiar with Arizona geography and/or likely to be found on common road maps – other route numbers, road or street names, streams and/or significant (named) washes, towns and cities, and political boundaries (county lines, city limits, National Forest boundaries, Indian Reservation boundaries, etc.).
- Significant cities or towns are especially desirable. When a Project is not located in a city or town, use descriptions such as “near XXX City” or “north of XXX City.”
- Mileposts are acceptable, especially in conjunction with other location features, but less desirable when used alone. Except for the Interstate Highway System, milepost information is not widely known or available by anyone outside the immediate highway industry and consequently, very difficult to use.
- Avoid using County Names (US-89, MP 490 to MP 510 in Coconino County). Most Arizona counties are huge and do not provide a clear indication of location. However, it is useful and permissible to use county lines.
- Avoid using ADOT Districts. These District and District Boundaries are not known outside those immediately involved in Arizona highway programs.
- Avoid Legislative Road Names (“Phoenix to Ehrenburg Highway”) as these are peculiar to Arizona, have little or no meaning outside ADOT, and usually are not very accurate for the Project in question.
- Avoid Section Names (“Lava Rocks Section,” “Doubtful Canyon Section,” etc. These names have little meaning outside of those immediately involved in the Project.
- Common and widely understood abbreviations may be used. Abbreviations such as Rd, St, Ave, Blvd, Hwy, Frwy, Pkwy, and MP are acceptable. However, avoid unusual abbreviations (NCL for North City Limits) and abbreviations unique to Arizona (TI and UP are unique to Arizona).

## **XII. ARS §28-339, AZ SMART LAW**

As revised by Laws 2024, Chapter 120

### **28-339. State match advantage for rural transportation fund; allocation of monies; definitions**

A. The state match advantage for rural transportation fund is established. The department shall administer the fund. Monies in the fund are continuously appropriated. The fund consists of the following:

1. Monies appropriated by the legislature.
2. Any nonfederal gifts, grants, donations or other amounts received from any public or private source for transportation projects.

B. On notice from the department, the state treasurer shall invest and divest monies in the fund as provided by section 35-313, and monies earned from investment shall be credited to the fund.

C. The department may establish any subaccount in the fund that the department determines is necessary to carry out the purposes of this section.

D. The department may not approve any expenditures from the fund unless the expenditure is made in accordance with this section.

E. Monies in the fund shall be used only for the following:

1. To reimburse up to fifty percent of the costs associated with developing and submitting an application for a federal grant.
2. To provide match or reimbursement of a match for a federal grant.
3. To fund or reimburse design and other engineering services expenditures that meet federal standards for projects eligible for a federal grant. Applicants awarded funding for design and other engineering services shall submit an application for a federal grant within two years after the award or the award lapses and the applicant must repay any expended monies to the fund. The applicant shall submit repayment within thirty days after receiving an invoice from the department.

F. Except as provided in subsection G of this section, the department shall suballocate monies in the fund to the following five categories:

1. Twenty percent to projects located in counties with a population of one hundred thousand persons or more for uses described in subsection E, paragraphs 2 and 3 of this section.
2. Twenty percent to projects located in counties with a population of less than one hundred thousand persons for uses described in subsection E of this section.
3. Twenty percent to projects located in municipalities with a population of ten thousand persons or more for uses described in subsection E, paragraphs 2 and 3 of this section.
4. Twenty percent to projects located in municipalities with a population of less than ten thousand persons for uses described in subsection E of this section.

5. Except as provided in subsection L of this section, twenty percent to the department for uses described in subsection E, paragraphs 2 and 3 of this section.

G. A project located in a county with a population of more than one million persons is not eligible for funding pursuant to subsection F, paragraph 1 of this section. A project located in a municipality that is partially or entirely located in an urbanized area of a county with a population of more than one million persons is not eligible for funding pursuant to subsection F, paragraph 3 or 4 of this section. The department may not use monies pursuant to subsection F, paragraph 5 of this section for projects that are located in an urbanized area of a county with a population of more than one million persons.

H. An entity that is eligible to receive a federal grant shall submit an application to the department to be eligible for an award from the fund. The entity must first obtain the approval of the applicable metropolitan planning organization or council of governments before submitting an application to the department. The department may establish an application deadline and require additional documentation to ensure an applicant is eligible for the federal grant. The board may also determine the extent to which an applicant has the technical and financial capacity to successfully complete the project.

I. On receipt of an application, the department shall determine if the requirements of the notice of funding opportunity or the federal statutes establishing the federal grant are met and if the approval required under subsection H of this section is granted. If the department determines that the application meets the requirements and is complete, the department shall forward the application to the departmental committee established pursuant to section 28-6951 for a recommendation. If a recommendation is made, the department shall notify the chairperson of the board that the application is ready for consideration and action by the board.

J. Once notified pursuant to subsection I of this section, the chairperson of the board shall place the application on an agenda for action within forty-five days after original receipt of the notification. The board may give preference to applicants that can demonstrate any of the following:

1. The percentage of matching monies provided by the applicant.
2. The extent that the applicant will partner with other entities to deliver the project.
3. Other factors as deemed appropriate by the board for the applicable federal grant.

K. The board may approve, deny, modify or request more information on the application. If the board approves an award, the department shall execute an agreement with the applicant regarding reimbursement and expenditures pursuant to subsection E of this section.

L. On the department's request, the board shall approve the use of monies as described in subsection F, paragraph 5 of this section. The department may annually use up to five percent of the monies earned in the previous fiscal year under subsection B of this section to administer the fund.

M. If an applicant receives an award pursuant to subsection E, paragraph 2 of this section but is not able to secure the federal grant, the department shall make the award monies available for other applications.

N. Beginning January 1 and July 1 of each year, the board may redistribute the unawarded monies in the fund to ensure each category under subsection F of this section receives a share of the monies based on the percentages prescribed in subsection F of this section. The department shall post the amount available for each category on the department's website within thirty days after the approval of the redistribution by the board.

O. Notwithstanding subsection J of this section and based on available funding, the board may direct the department to close applications for any category and return any unawarded applications to the applicants.

P. The board shall rescind an award if an applicant receives funding from another source for the same project and purpose in an amount equal to or greater than the award made under this section. The applicant shall repay any monies expended from the fund within one year after the date of the rescission resolution approved by the board.

Q. For the purposes of this section:

1. "Federal grant" means a federal discretionary grant program administered by any federal agency for surface transportation purposes.

2. "Urbanized area" means an urbanized area as defined in the most recent decennial census certified by the United States census bureau.

### **XIII. ARIZONA CONSTITUTION, ARTICLE 9, SECTION 7**

*Text applicable to [Non-governmental entity Applicants](#) eligible for the revised AZ SMART Program are highlighted for emphasis:*

Section 7. Neither the state, nor any county, city, town, municipality, or other subdivision of the state shall ever give or loan its credit in the aid of, or make any donation or grant, by subsidy or otherwise, to any individual, association, or corporation, or become a subscriber to, or a shareholder in, any company or corporation, or become a joint owner with any person, company, or corporation, except as to such ownerships as may accrue to the state by operation or provision of law or as authorized by law solely for investment of the monies in the various funds of the state.

## **XIV. ARS §41-2701 ET SEQ, GRANT STATUTE**

### **41-2701. Definitions**

In this chapter, unless the context otherwise requires:

1. "Grant" means the furnishing of financial or other assistance, including state funds or federal grant funds, by any state governmental unit to any person for the purpose of supporting or stimulating educational, cultural, social or economic quality of life.
2. "Person" means any corporation, business, individual, committee, club or other organization or group of individuals.
3. "State governmental unit" means any department, commission, council, board, bureau, committee, institution, agency, government corporation or other establishment or official of the executive branch or corporation commission of this state.

### **41-2702. Solicitation and award of grant applications**

A. State governmental units shall award any grant in accordance with the competitive grant solicitation requirements of this chapter.

B. A state governmental unit shall prepare and issue a Request for Grant Applications that includes at least the following information:

1. A description of the nature of the grant project, including the scope of the work to be performed by an awardee.
2. An identification of the funding source and the total amount of available funds.
3. Whether a single award or multiple awards may be made.
4. Encouragement of collaboration by entities for community partnerships, if appropriate.
5. Any additional information required by the applications.
6. The criteria or factors under which applications will be evaluated for award and the relative importance of each criteria or factor.
7. The due date for submittal of applications and the anticipated time the awards may be made.

C. Adequate public notice of the Request for Grant Applications shall be given at least six weeks before the due date for the submittal of applications. Adequate notification of the Request for Grant Applications shall also be provided to the central state permitting program pursuant to section 41-1505.08.

D. A preapplication conference may be conducted before the due date for the submittal of applications to explain the grant application requirements. If a preapplication conference is held, it shall be held at least twenty-one days before the due date. Statements made at a preapplication conference are not amendments to the Request for Grant Applications unless a written amendment is issued.



E. Grant applications shall be publicly received at the time and place designated in the Request for Grant Applications. The name of each Applicant shall be publicly read and recorded. All other information in the grant application is confidential during the process of evaluation. All applications shall be open for public inspection after grants are awarded. To the extent the Applicant designates and the state concurs, trade secrets and other proprietary information contained in the application shall remain confidential.

F. Applications shall be evaluated by at least three evaluators who are peers or other qualified individuals. The evaluators may allow Applicants to make oral or written presentations regarding the scope of work, terms and conditions of the grant, budget and other relevant matters set forth in the Request for Grant Applications. Applicants shall be accorded fair treatment with respect to any opportunity for oral or written presentations. The evaluators may require an Applicant to revise its application to reflect information provided in an oral or written presentation. Any person who has information contained in the application of competing applications shall not disclose that information.

G. The evaluators shall review each application based solely on the evaluation criteria or factors set forth in the Request for Grant Applications. The evaluators shall maintain a written record of the assessment of each application, which shall include comments regarding compliance with each evaluation criteria or factor, the citation of a specific criteria or factor as the basis of each stated strength or weakness and a clear differentiation between comments based on facts presented in the application and comments based on professional judgment. Evaluator assessments shall be made available for public inspection no later than thirty days after a formal award is made.

H. The evaluators shall make award recommendations to the head of the state governmental unit based on the evaluators' reviews of each application. The evaluators' recommendations may include the adjustment of the budgets of the Applicants individually or collectively.

I. The head of the state governmental unit may affirm, modify or reject the evaluators' recommendations in whole or in part. Modification of the evaluators' recommendations may include the adjustment of the budget on any proposed award individually or on all awards by an amount or percentage. If the head of the state governmental unit does not affirm the recommendations, the head of the state governmental unit shall document in writing the specific justifications for the action taken. The specific justifications shall be made available for public inspection no later than thirty days after the action is taken.

J. The head of a state governmental unit may enter into agreements with other state governmental units to furnish assistance in conducting the solicitation of grant applications.

#### 41-2703. Waiver of solicitation and award procedures

A. Notwithstanding any other provision of this chapter, the director of the department of administration or the director's designee may waive the solicitation and award procedures if a situation exists that makes compliance with section 41-2702 impracticable, unnecessary or contrary to the public interest, except that the grant solicitation and award shall be made with competition that is practicable under the circumstances.

B. A state governmental unit seeking a waiver of solicitation and award procedures shall prepare a written request documenting and explaining the situation justifying the waiver. The request shall be submitted to the director of the department of administration or the director's designee, who shall determine in writing whether to grant the request. If the request is granted, the determination shall state the manner in which the grant is to be solicited and awarded and the limits of the determination.

C. A copy of each request and determination shall be kept on file in the office of the state governmental unit requesting the waiver and the office of the director of the department of administration or the office of the director's designee.

#### 41-2704. Remedies

The head of the state governmental unit may resolve protests of the award or proposed award of a grant. An appeal from a decision of the head of a state governmental unit may be made to the director of the department of administration. A protest of an award or proposed award of a grant and any appeal shall be resolved in accordance with the rules of procedure adopted by the director pursuant to section 41-2611.

#### 41-2705. Violation; classification; liability; enforcement authority

A. A person who violates this chapter is personally liable for the recovery of all public monies paid plus twenty per cent of the amount and legal interest from the date of payment and all costs and damages arising out of the violation.

B. A person who intentionally or knowingly participates in the award of a grant pursuant to a scheme or artifice to avoid the requirements of this chapter is guilty of a class 4 felony.

C. A person who serves as an evaluator of grant applications pursuant to this chapter shall sign a statement before reviewing applications that the person has no interest in any application other than that disclosed and shall not have contact with any representative of an Applicant during the evaluation of applications, except those contacts specifically authorized by this chapter. The person shall disclose on the statement any contact unrelated to the review of the grant applications that the person may need to have with a representative of an Applicant and any contact with a representative of an Applicant during evaluation of applications except those specifically authorized by this chapter. A person who serves as an evaluator and who fails to disclose contact with a representative of an Applicant or who fails to provide accurate information on the statement is subject to a civil penalty of at least one thousand dollars but no more than ten thousand dollars.

D. The attorney general on behalf of this state shall enforce the provisions of this chapter.

#### 41-2706. Applicability of chapter

A. This chapter applies to the solicitation of grants initiated after August 6, 1999.

B. This chapter does not apply to:

1. Any grant program that was exempt from chapter 23, article 3 of this title and for which administrative rules establishing grant solicitation procedures were adopted pursuant to chapter 6 of this title before August 6, 1999.

2. The Arizona board of regents and schools, colleges, institutions and universities under its control if the Arizona board of regents adopts rules or policies governing the award of grants that encourage as much competition as practicable.

3. Grants made by the cotton research and protection council for research programs related to cotton production or protection.

4. Grants made by the Arizona iceberg lettuce research council for research programs under section 3-526.02, subsection C, paragraph 3 or 5.

5. Grants made by the Arizona citrus research council for research programs under section 3-468.02, subsection C, paragraph 3 or 5.

6. Grants made by the Arizona grain research and promotion council for research projects and programs under section 3-584, subsection C, paragraph 5.

7. Grants made under section 3-268, subsection C.

8. Grants made by the Arizona commerce authority from the Arizona competes fund pursuant to chapter 10, article 5 of this title. With respect to other grants, the authority shall adopt policies, procedures and practices, in consultation with the department of administration, that are similar to and based on the policies and procedures prescribed by this chapter for the purpose of increased public confidence, fair and equitable treatment of all persons engaged in the process and fostering broad competition while accomplishing flexibility to achieve the authority's statutory requirements. The authority shall make its policies, procedures and practices available to the public.

9. Grants of less than five thousand dollars from the veterans' donations fund if the department of veterans' services adopts rules or policies governing these grants that encourage as much competition as practicable.

**XV. STATE TRANSPORTATION BOARD POLICY #45**

*AZ State Match Advantage for Rural Transportation (AZ SMART) Fund (approved 10/18/24)*

1. It is the policy of the Board to facilitate the application for, and award of, federal discretionary grants to eligible Arizona applicants.
2. It is the policy of the Board to encourage all eligible applicants to utilize the benefits of the AZ SMART Fund Program.
3. It is the policy of the Board to award AZ SMART Funds:
  - a. To well-developed and administratively complete applications that maximize the State's competitiveness for each federal discretionary grant.
  - b. To applicants demonstrating the financial and technical capacity to successfully deliver the project.
  - c. For projects including safety improvements and demonstrating a public benefit which exceeds the cost of the project.
4. It is the policy of the Board to:
  - a. Approve an application and application guidelines prior to each Request for Grant Applications (RFGA).
  - b. At the discretion of the Board, give preference to applicants that can demonstrate the following:
    - i. The percentage of non-federal, matching cash funds (US \$) to be provided by the Applicant on the federal grant.
    - ii. The extent to which the applicant will partner with other entities to deliver the project, including the amount of cash and in-kind funding to be provided by each entity.
    - iii. Other factors as deemed appropriate by the Board for the applicable federal grant.
  - c. Encourage applicants to:
    - i. Establish federal procurement policies and contracts to enable the rapid development and submission of strong and competitive federal grant applications.
    - ii. Generate well-developed cost estimates based on federal standards to minimize the financial impact to the applicant.
  - d. Require applicants to respond within five business days regarding the following requests to ensure funding can be awarded and deployed in an expeditious manner:
    - i. A request for more information from the Board; and
    - ii. A request to accept or decline an award which differs from the amount in the application.
  - e. Require applicants to begin projects as soon as possible upon an award from the AZ

SMART Fund.

- f. Require all AZ SMART Fund awards to be subject to applicable federal and state laws, regulations and ADOT policies, including procurement, timely obligation and expenditure of funding, invoicing, reporting and other requirements which may be identified by the Board or a federal discretionary grant.
- g. Allocate interest earnings to each sub fund on a pro rata basis to help sustain the life of the AZ SMART Fund.
- h. If applicable, redistribute unawarded monies in the AZ SMART Fund in January and July to ensure each funding category is restored to an equal share.

## XVII. SAMPLE RESOLUTION OF GOVERNING BODY

**NOTE:** This document was updated on 9/18/25 with more detailed instructions (see sections in red) to assist applicants. However, no new provisions or requirements have been added.

Applicants may adapt the style of the resolution as desired. However, all clauses identified in this Sample Resolution shall be included in the Applicant's resolution, with the exception of Section 6 and the approval as to form, unless one or both are 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. **DO NOT include the red text in the actual resolution**; it is for informational purposes only.*

### 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] has or will submit the Project for the Federal 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 Federal Grant the Applicant will pursue and the commitment of Applicant funds, if applicable;

NOW, THEREFORE, BE IT RESOLVED BY THE [NAME OF GOVERNING BODY] OF [NAME OF APPLICANT], [ ] COUNTY, ARIZONA, AS FOLLOWS:

**Required clause.** Section 1: That the [location of Project] Project is in the best interests of the residents of [Name of the municipality or county in which the Project is or will be located].

**Required clause.** Section 2: That the [name of Applicant] requests [\$ ] for [DOES/GDS/Match] from the AZ SMART Fund.

**Required clause.** This is the amount of funding the Applicant is providing **from its own funds**, which is worth up to 3 points in the Priority Criteria scores. **DO NOT** include the amount in Section 2 being requested from AZ SMART. If zero, enter "0". Section 3: That [\$ ] of cash monies of the [name of the Applicant] are committed to the Project.

**Required clause for DOES requests ONLY; do not include if requesting Match or GDS.** Section 4: That [name of the Applicant] will apply for the Federal Grant identified in the RFGAA within two years of the date an award for DOES is approved by the Board.

**Required clause; renumber if Section 4 above is not used.** Section 5: That the [title of Authorized Representative] is authorized to submit and sign the RFGAA.

**Optional clause; consult legal counsel for further information. Renumber if Section 4 above is not used.** Section 6: WHEREAS, the immediate operation of the provisions of this Resolution is necessary for the preservation of the public peace, health and safety, an emergency is hereby declared to exist, and this Resolution shall be in full force and effect from and after its passage by the [name of governing body].

PASSED AND ADOPTED by the [name of governing body] of the [Name of the Applicant], [ ] County, Arizona, this [ ] day of [ ], 20 [ ].

APPROVED:

---

[Title of Officer]

ATTEST:

---

[Title of Officer attesting]

If desired:

**Optional:** APPROVED AS TO FORM:

---

[Name of Applicant] Attorney



Sample form for illustrative purposes only. The actual form is an Excel spreadsheet and is available on the [AZ SMART website](#).

**ARIZONA DEPARTMENT OF TRANSPORTATION  
PAYMENT REPORT**

ADOT Project Number:		Program Phase:		Federal Aid #:	
Payment Report Number:		Billing Period:		TIP ID #:	
JPA/IGA Number:		Final Payment: <input type="checkbox"/> Check		Progress Payment: <input type="checkbox"/> Check	
Contract Amount:		Progress %:		Project End Date:	
Vendor ID:		GAE Number:			
Name of Project:					
Vendor (Sponsor):					
REMIT PAYMENT TO (Address):					
<b>SUMMARY OF WORK FOR WHICH PAYMENT IS REQUESTED</b>					
Items	DESCRIPTION	Previous Cumulative Amount	Current Request (Federal Share)	In-Kind (Local Share)	Cumulative Amount
					\$ 0.00
					\$ 0.00
					\$ 0.00
					\$ 0.00
					\$ 0.00
					\$ 0.00
					\$ 0.00
					\$ 0.00
					\$ 0.00
					\$ 0.00
					\$ 0.00
					\$ 0.00
					\$ 0.00
					\$ 0.00
					\$ 0.00
<b>Totals</b>		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
I am signing to confirm and certify that the above referenced project is considered to be complete and accepted as Final, in accordance with FHWA requirements. All vendors have been paid in full.					
Submitted By:				Accumulative Federal Amount: \$ 0.00	
Project Sponsor		Date			
Approved By:				Accumulative Local Amount \$ 0.00	
ADOT Project Manager		Date			
Approved By:				Project Accumulative Amount \$ 0.00	
		Date			
Comments:					
		Accumulative Local NFA Amounts reported \$ 0.00			

## **XVIII. APPLICATION INSTRUCTIONS**

**NOTE:** These Application Instructions are part of, and intended to be used in conjunction with, the RFGAA posted on the [AZ SMART RFGAA page](#). Capitalized terms are defined in the Definitions and Abbreviations section of the RFGAA. Questions about these instructions should be emailed to [azsmart@azdot.gov](mailto:azsmart@azdot.gov).

### **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 (see the [Application, Review and Approval process](#)). **Before applying, Applicants are *strongly* encouraged to:**

- 1. Identify the Federal Grant to be pursued.** The Applicant is responsible for identifying a Federal Grant for which it and the Project are eligible. This grant must be identified in the AZ SMART application.
- 2. Read the RFGAA, including 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](#).

### **3. 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.

### **4. 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.

### **5. Prepare and Assemble Required Documents**

After submitting the AZ SMART application, please ensure all the information and documents listed in Figure 6 below have been emailed to [azsmart@azdot.gov](mailto:azsmart@azdot.gov). Applications missing information or documents are not Administratively Complete and will not be further reviewed or considered. ADOT may also request additional documents or information beyond the items listed in Figure 6 or requested in the application.

Figure 6 – Applicant Checklist

Required Document	<input checked="" type="checkbox"/>
<b>All Applicants:</b>	
Application (completed and submitted online)	
Signed Offer and Acceptance Form	
Delegation for Authorized Representative (if not contained in Governing Body resolution)	
COG/MPO approval letter required by ARS §28-399.H.	
Scoping Letter, Project Assessment or other technical documentation	
Project map clearly identifying the road(s) with beginning and ending termini or study area.	
Project budget on the AZ SMART Cost Estimate Tool	
Executed Governing Body Resolution	
Links to or electronic version of audited financial statements for the 3 most recent years	
Links to or electronic version of evidence of public support for the project (approved TIP, general plan or public meeting minutes)	
Procurement solicitation, if requesting reimbursement of DOES or Match expenditures incurred after September 14, 2024.	
Letters of Support (maximum of 5 letters)	
<b>Non-governmental Entities only:</b>	
Legal organizing documents such as Articles of Incorporation	
IRS Determination Letter (non-profits only)	

## 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 the following:

- a. **Name of Applicant.** 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 organizing 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 will be the same COG/MPO providing the approval letter, which statute requires to indicate *approval of the AZ SMART application*, not just transmission or notification the Project is included in the TIP.
- d. **Federal Discretionary Grants awarded in last 2 years.** Identify any Federal Discretionary Grant(s) awarded in the last 2 years, including the name of the project(s) and year(s) and amount(s) awarded, or enter "NA." Federal Discretionary Grants include Local and Regional Project Assistance (RAISE), Safe Streets for All (SS4A), and many others *awarded by a federal agency*.

**DO NOT** list formula federal aid such as Surface Transportation Block Grant (STBGP), Highway Safety Improvement Program (HSIP), Transportation Alternatives (TA), Off System Bridge (OSB), appropriations from the Arizona Legislature, or Congressionally Directed Spending (federal earmarks). Limited to 500 characters, including punctuation and spaces. **Example response:** First Avenue and Central St intersection, RAISE, 2024, \$12,600,000

- e. **Formula federal aid projects funded in last 2 years.** Identify any formula federal aid projects funded in the last 2 years, including the name of the project(s), year(s) and amount(s) received, or enter "NA." Formula federal aid includes Surface Transportation Block Grant (STBGP), Highway Safety Improvement Program (HSIP), Transportation Alternatives (TA), Off System Bridge (OSB), etc. *provided by ADOT or a COG/MPO (not a federal agency)*.

**DO NOT** list appropriations from the Arizona Legislature, Congressionally Directed Spending (federal earmarks) or Federal Discretionary Grants. Limited to 500 characters, including punctuation and spaces. **Example response:** Main Street from Pine Ave to Willow Rd, HSIP, 2023, \$320,000

- f. **Applicant's financial statements for last 3 fiscal years.** Enter links to the audited financial statements. If not online, email [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the file name(s) below. Data from the financial statements will be used to calculate the Quick Ratio for Applicants requesting approval to self-administer design or 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. **Legal organizing documents (non-governmental entities only).** Email the entity's legal organizing documents such as Articles of Incorporation to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.
- h. **IRS Determination letter (nonprofits only).** If a non-profit, email the IRS Determination Letter to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below. 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.

### 3. Applicant Contacts Section

- a. **Authorized Representative Name and Title** – This individual is the person authorized by the Applicant governing body to sign the Offer in this RFGAA and commit the Applicant to a contractual relationship. The Authorized Representative must have legal authority to sign binding contracts, including the [Request for Grant Application and Agreement](#), on behalf of the Applicant.
- b. **Authorized Representative 10-digit office phone number**, including area code and extension, if any.
- c. **Authorized Representative work mailing address.**
- d. **Authorized Representative work email address.**
- e. **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.
- f. **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.
- g. **Project Administration Contact's 10-digit office phone number**, including area code and extension, if any.
- h. **Project Administration Contact's work mailing address**
- i. **Project Administration Contact's work email address.**
- j. **Agreement Administration Contact Name and Title** - This individual is the individual ADOT will contact regarding contractual matters related to this RFGAA.
- k. **Agreement Administration Contact's 10-digit office phone number**, including area code and extension, if any.
- l. **Agreement Administration Contact's work mailing address.**
- m. **Agreement Administration Contact's work email address.**
- n. **Finance Administration Contact Name and Title** - This individual is the individual ADOT will contact regarding financial matters related to this RFGAA or the Project.
- o. **Finance Administration Contact's 10-digit office phone number**, including area code and extension, if any.
- p. **Finance Administration Contact's work mailing address.**
- q. **Finance Administration Contact's work email address.**

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

#### 4. Project Details Section

Applicants shall provide the following information:

- a. **Project Name**. Enter the name(s) of street/route, etc. and the beginning and ending termini or other site specific information which will enable the project to be identified on a map. Limited to 250 characters, including spaces and punctuation. **DO NOT use** a summary name such as Downtown Infrastructure Improvements and **DO NOT include** any other type of information. Please follow the FHWA Project Naming Guidelines included in the RFGAA.
- b. **Functional Classification of street or route**. For assistance in determining the Functional Classification, see the [ADOT Functional Classification](#) map. Select “Not Applicable” for other projects.
- c. **Project Type**. Select one only. If the desired project type is not listed, select Other and provide a BRIEF description of no more than 25 characters, including spaces and punctuation.

**NOTE REGARDING MULTIMODAL PROJECTS:** AZ SMART may only fund road, bridge, transit or rail components of a Multimodal project. This AZ SMART application should address only the eligible components of a multimodal project.

- d. **Project Funding Category**. Identify in which of the following categories the project is located. Select one only. If Project crosses a city or county boundary, select the Funding Category in which the greatest percentage of the Project is located. The ADOT system option is reserved for ADOT applications only and should not be used by other applicants.

**NOTE:** Select a county option for projects located in *unincorporated* areas of a County. The County population is based on the total from the most recent decennial census, including in cities, towns and unincorporated areas.

- e. **Project Map**. Email a PDF map clearly identifying Project location (route/street with beginning and ending termini noted) or study area to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.
- f. **Required COG/MPO approval letter**. Email the required approval letter from the COG/MPO in which the largest share of the project is located to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below. The letter must be on COG/MPO letterhead, indicate *approval* of the project and be signed and dated. Failure to provide this information will result in an incomplete application



which will not be reviewed, retained or considered.

- g. **Evidence of public support.** Identify the document which includes the Project - select only one. TIPs, CIPs and General Plans must be *approved*, not draft or pending approval. The Priority Criteria scores (15 points maximum) for each option are identified below - see RFGAA for further information. Options include:
- 1) Currently approved Regional or Tribal Transportation Improvement Program OR the currently Approved ADOT 5-yr Program (15 points),
  - 2) Currently approved Municipal or County General Plan, Capital Improvement Program or other current, publicly adopted jurisdictional capital plan (10 points),
  - 3) Minutes of a public meeting or study session of jurisdiction in which Project is located (5 points), or
  - 4) Project is not in an adopted planning document and/or has not been discussed in public meeting or study session (0 points) .
- h. **Link to Public Support document.** Provide a web link to the document evidencing public support for the Project *and identify the page number on which the project is listed*. If not posted on the internet, email the document to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.
- i. **Governing body resolution.** Email the governing body resolution to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below. The resolution must be approved, dated and signed. Failure to provide this document will result in an incomplete application which will not be reviewed, retained or considered.
- NOTE:** A [Sample Resolution](#) is provided in the RFGAA. Applicants may adapt the style of the resolution as desired. However, **all applicable provisions identified in the 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.
- j. **Project Purpose.** **This is one of the most important elements of the Application.** What problem does this Project address? Response should be as succinct and objective as possible. **DO NOT repeat** information provided in the Project Need or Scope. See FHWA's [Purpose, Need and Alternatives](#) for further information and guidance. Limited to 1000 characters, including punctuation and spaces.
- k. **Project Need.** **This is one of the most important elements of the Application.** Provide DATA which substantiates the need for the project such as crash data, average daily traffic, or other applicable statistics. Response should be as succinct and objective as possible. **DO NOT repeat** information provided in the Project Purpose or Scope. See FHWA's [Purpose, Need and Alternatives](#) for further information and guidance. Limited to 1000 characters, including punctuation and spaces.
- l. **Safety Improvements Strategies.** What safety strategies are addressed by the [Project](#)? See the [Appendix](#) to these Application Instructions for strategies in the 2024 [Strategic Highway Safety Plan](#). Check all that apply. To identify strategies not listed in the options provided, check the Other box and enter the specific strategy(ies) on the Other line. Safety improvements addressing the selected strategy(ies) must be identified in the Project Scope.

**NOTE:** This question is worth up to 15 points in the Priority Criteria - see the [RFGAA](#) for further information. Options include:

- 1) Safety for vulnerable road/non-motorized users (10 points)
- 2) Intersection safety (5 points)
- 3) Roadway lane departures (5 points)
- 4) Project does not address safety improvements (0 points)
- 5) Other (points depend on information provided)

m. **Project Scope – This is one of the most important elements of the Application.**

Clearly identify the specific work elements to be undertaken, including safety improvements. **DO NOT repeat** information provided in the Project Purpose and Need. See the Application Instructions in the [RFGAA](#) for further information and guidance. Limited to 2000 characters, including punctuation and spaces.

**NOTE:** 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.
- n. **Scoping Letter or Project Assessment.** Please email the Scoping Letter, Project Assessment, or other technical documentation describing the Project to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below. **DO NOT** give general descriptions. Provide as much technical detail as possible, including study/plan components, expected treatment types, lengths, locations, etc. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.
- o. **Right of Way.** If the Project is:
- Completely contained in Applicant's Right of Way, check box #1.
  - Involves any Right of Way owned by others, check box #2 AND the "Other" box. In the Other field, identify the owners, parcel numbers, status of discussions or approvals from each owner and any known issues.
  - Non-infrastructure, check box #3.
- Box #1 - Project is completely contained in the Applicant's right of way.  
Box #2 - Project involves right of way owned by others. If choosing this option, also check the box for Other.  
Box #3 - Not applicable (non-infrastructure projects only)  
Box #4 Other - identify the owners, parcel numbers, status of discussions or approvals from each owner and any known issues here.
- NOTE:** Applicants are responsible for identifying Right of Way ownership and issues before applying. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.
- p. **Environment and other impacts.** Identify any tribal, state or federal lands, protected species, wetlands, etc. involved or impacted by the project. Briefly summarize the physical/natural environmental, socioeconomic and cultural impacts of the project. **DO NOT repeat** information provided under Project Purpose, Need, Scope, etc. Limit response to 1,000 characters, including spaces and punctuation. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.
- q. **Railroad impacts.** If Project is located within 1/2 mile of a railroad, identify the railroad, area/crossing involved, anticipated impacts and the status of discussions, negotiations and clearances with the railroad company. If none, enter "None". Limit response to 1,000 characters, including spaces and punctuation. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.

- r. **Utility impacts.** If Project will impact utilities, identify each utility involved, anticipated impacts and the status of discussions, negotiations and clearances with the utility company. If none, enter "None". Limit response to 1,000 characters, including spaces and punctuation. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.
- s. **Irrigation facility impacts.** If Project will impact an irrigation facility, identify the owner and specific facility involved, anticipated impacts and the status of discussions, negotiations and clearances with the facility owner. If none, enter "None". Limit response to 1,000 characters, including spaces and punctuation. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.
- t. **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.

- u. **Expected construction FISCAL year.** Enter the state FISCAL year (runs July 1 through June 30) in which construction is *reasonably expected to begin*. Consider time required to design the project, apply for a federal grant, federal agency processing and award notification and execution of a federal grant agreement. See section B.4.w. of the [Application Instructions](#) for a sample timeline. If the project is non-infrastructure, enter "NA".

**NOTE:** The expected construction fiscal year will generally also be the Year of Expenditure (YOE) for AZ SMART projects.

- v. **Construction cost estimate in YOE dollars.** On the *Itemized cost estimate tab* in the [AZ SMART Cost Estimate form](#), use the YOE calculator to escalate the current estimated cost of the project to the expected construction fiscal year identified in the previous question. Enter the YOE estimate below in whole numbers (for example, \$250,000). If non-infrastructure, enter "Not applicable".

**NOTE:** The YOE construction estimate should be the amount programmed in the TIP, Capital Improvement Plan or other documents provided to demonstrate evidence of public support.

w. **Project Budget – This is one of the most important elements of the Application.**

Thoroughly complete the required [AZ SMART Cost Estimate Tool](#) including estimated construction costs, email it to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter that electronic file name below. **DO NOT delete** rows or columns, revise formulas or otherwise change the AZ SMART Cost Estimate Tool file. Non-infrastructure cost estimates may use another format but must be broken out by work component. **Lump sum budgets will not be accepted.** See the Application Instructions in the [RFGAA](#) for important information and guidance. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.

**NOTE:** The amounts shown in the Project Budget should match the TIP, Capital Improvement Plan or other documents provided to demonstrate evidence of public support.

**NOTE:** Applicants are advised to read the ADOT Cost Estimate Tool carefully, particularly the guidance regarding percentages throughout the Tool (see examples highlighted in Figure 7 to the right). This guidance is provided to help Applicants develop realistic project budgets.

Applicants shall prepare and upload a cost estimate as follows:

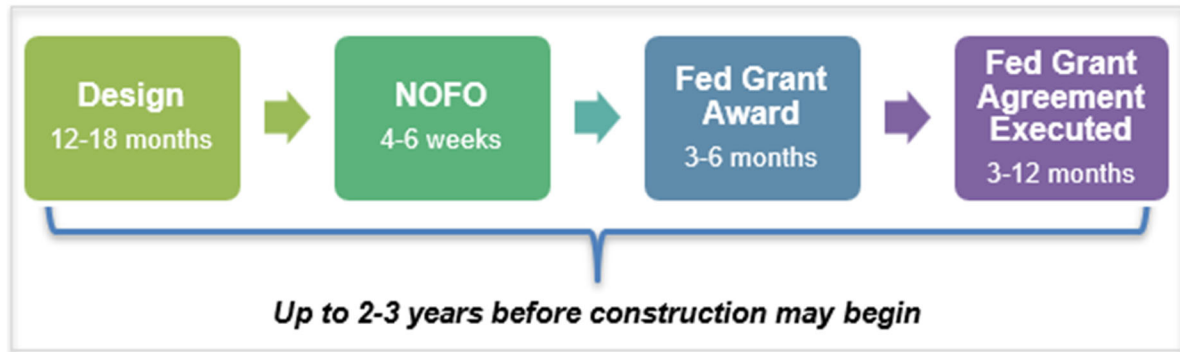
- 1) Infrastructure projects:
  - a) Road, bridge, rail, and transit must be estimated using the [AZ SMART Cost Estimate Tool](#) located on the [AZ SMART Resources webpage](#).
  - b) For multimodal projects, estimate only the road, bridge, transit or rail infrastructure components using the [AZ SMART Cost Estimate Tool](#). Work related to other modes is not eligible for AZ SMART and should not be included.
- 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 [AZ SMART Cost Estimate Tool](#) includes a YOE calculator on the Itemized cost estimate tab. In determining 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 8 below) as they may impact the year in which a project may reasonably begin, and therefore, the YOE calculations.

Figure 7 – 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.	

- Design to federal standards takes at least 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 8 – Design through Federal Grant Execution*



- x. **Source of cost estimates.** If "Other" is selected, identify **the source and date** of the cost estimate. Options include:
- 1) Developed by the Applicant within the last 6 months.
  - 2) Developed by the Applicant more than 6 months ago.
  - 3) Developed by an engineering consultant within the last 6 months.
  - 4) Developed by an engineering consultant more than 6 months ago.
  - 5) Other – enter the source and date of the cost estimate on this line.
- y. **Project Development (PDA) Fees.** If applying for DOES or Match for a federal grant that will fund any portion of design, indicate if the Project Budget includes *initial* ADOT Project Development (PDA) fees of \$50,000. If non-infrastructure or no design work is contemplated, enter "Not applicable".

**NOTE** regarding PDA fees: ADOT will generally administer DOES projects (unless otherwise determined) and PDA fees will apply. *Initial* PDA fees of \$50,000 are eligible for AZ SMART funding **only if they are included in the Project Budget** submitted with the AZ SMART application. ADOT may recommend a different initial amount during the Courtesy Technical Review. Any initial amount is an estimate only and additional PDA fees may be required. 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.

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.

z. **Project's long-term impact.** This question is worth 5 points in the Priority Criteria - see the [RFGAA](#) for further information. Responses are limited to 1000 characters, including punctuation and spaces. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.

1) **Infrastructure Projects** - Identify the estimated costs to operate and maintain the Project and the sources of funding for these activities.

2) **Non-infrastructure Projects** - Identify how and when the study, plan, etc. will 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. Direct Recipients and self-administering Applicants are required to provide contract(s) or solicitation(s) under which DOES or Match expenditures were procured.

**NOTE:** AZ SMART funding requests must be documented and identified in the Project Budget submitted with this Application.

a. **Grant Development and Submission (GDS) \$ requested.** Enter amount requested for Grant Development and Submission (GDS). The amount should be **no greater than 50% of the actual costs** to develop and submit the Federal Grant. Enter in whole dollars (for example, 10000 for a grant application expected to cost \$20,000 to prepare/submit). Skip if not requesting GDS.

**NOTE:** This Eligible Use is limited to Projects located in counties with population under 100,000 or municipalities with population under 10,000. Regardless of the amount awarded by the Board, no more than 50% of actual costs incurred will be reimbursed for this purpose.

b. **GDS \$ purpose.** Identify if the requested GDS funding will be used to reimburse prior GDS expenditures for this Project or to fund development/submission of a future Federal Grant application. Skip if not requesting GDS.

**NOTE:** Eligible Expenditures for GDS are those incurred after September 14, 2024.

c. **DOES \$ requested.** Enter amount requested for Design and Other Engineering Services (DOES) costs. The amount must be estimated in the Project Budget submitted with the Application. Enter in whole dollars (for example, \$250,000). Skip if not requesting DOES.

**NOTE regarding PDA fees:** ADOT will administer DOES projects (unless otherwise determined) and PDA fees will apply. *Initial* PDA fees of \$50,000 are eligible for DOES **only if included in the Project Budget** submitted with the AZ SMART application. ADOT may recommend a different initial amount during the Courtesy Technical Review. Any *initial* amount is an estimate only and additional PDA fees may be required. 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.

- d. **Match \$ requested.** Enter amount requested for Match expenditures meeting Federal Standards as defined in the RFGAA. Enter in whole dollars (for example, \$65,000). Skip if not requesting Match.

**NOTE:** The amount requested must align with the Project Budget submitted with the Application. If no match is required by the Federal Grant, AZ SMART will not provide Match funding. Matching funds beyond that required by the grant which are intended to improve the competitive position of a project is the Applicant's responsibility.

- e. **Procurement solicitation (reimbursements only).** If requesting reimbursement of prior DOES or Match expenditures for this Project:

- 1) Email the *solicitation* under which the expenditures were procured to [azsmart@azdot.gov](mailto:azsmart@azdot.gov), and
- 2) Enter the amount of and purpose for which reimbursement requested (DOES or Match), followed by the name of the electronic file of the solicitation document. Reimbursement requests will not be reviewed, retained or considered until the solicitation has been received. **Example response:** \$1,000,000 for DOES. *Solicitation file name: 2024 Main St scoping.pdf*

**NOTE regarding reimbursement of previous DOES expenditures:** Any amount to be reimbursed must be documented and identified in the Project Budget submitted with this Application. DOES expenditures may include costs to develop scope, schedule, budget, or other preliminary engineering costs **only if such expenditures were incurred:**

- after September 14, 2024, **AND**
- under a solicitation which meets Federal Standards as defined in the [RFGAA](#).

- f. **Project financial viability.** Indicate if the Project will be able to proceed or can be scaled back if awarded less AZ SMART Funds than requested.

**NOTE:** The State Transportation Board may modify award amounts due to limited funding or other reasons. In such cases, the Applicant will be required to provide the remaining funding for the project and if awarded DOES, will still be required to submit a federal grant application within 2 years of the Date of Award.

## 6. Other Project Funding Section

The information in this section is focused on project funding **other than AZ SMART** and is required to generate Funding Sources and Uses information. Do not include any amounts requested from AZ SMART in responding to the questions in the section.

- a. **Applicant's own funds.** Enter amount of cash monies provided by the Applicant from its own funds which will *supplement* (not supplant) the AZ SMART request. **DO NOT include** the amount requested from AZ SMART, match on federal formula funds, Legislative Appropriations, Congressionally Directed Spending, the Federal Grant, partner or private contributions or any other sources. Enter in whole dollars (for example, \$25,000). Enter 0 if none.

**NOTE:** This question is worth up to 3 points in the Priority Criteria - see the [RFGAA](#)

for further information. The amount entered here must be documented in both the Project Budget and the approved governing body resolution submitted with the Application, and will be invoiced to the applicant if ADOT is administering the Project.

- b. **Federal formula funds.** Indicate if any federal formula funds are programmed for the Project. Federal formula funds include but are not limited to Surface Transportation Block Grant Program (STBGP), Highway Safety Improvement Program (HSIP), Transportation Alternatives (TA), Off System Bridge (OSB), Transit (5310, 5311, etc.) and other annual formula funding.
- If no federal formula funding is programmed, check box #1.
  - If federal formula funding is programmed, **check box #2 AND the Other box.** On the Other line, enter the year, type of funds, and the amount of both the formula funding and required match programmed (in whole numbers and separated by commas). See example in graphic below.
  - **DO NOT include** the AZ SMART request, Legislative Appropriations, Congressionally Directed Spending, the Federal Grant, Applicant's own funds or any other sources.

**NOTE:** Most federal formula funding requires a match of 5.7%

**Federal formula funds \***

**INSTRUCTIONS:** Indicate if any federal formula funds are programmed for the Project. Federal formula funds include but are not limited to Surface Transportation Block Grant Program (STBGP), Highway Safety Improvement Program (HSIP), Transportation Alternatives (TA), Off System Bridge (OSB), Transit (5310, 5311, etc.) and other annual formula funding.

- If no federal formula funding is programmed, check box #1.
- If federal formula funding is programmed, **check box #2 AND the Other box.** On the Other line, enter the year, type of funds, and the amount of both the formula funding and required match programmed (in whole numbers and separated by commas).  
*Example response: 2027, TA, \$94,300, \$5,700*
- **DO NOT include** the AZ SMART request, Legislative Appropriations, Congressionally Directed Spending, the Federal Grant, Applicant's own funds or any other sources.

☐ 1. No federal formula funds

☒ 2. Federal formula funds are programmed (enter info on Other line)

☒ Other: 2025, STBGP, \$94,300, \$5,700

- c. **Congressionally Directed Spending (CDS).** Indicate if Congressionally Directed Spending has been requested from a member of Congress for this Project.
- If no CDS has been requested, check box #1.
  - If CDS has been *requested but not yet awarded*, **check box #2 AND the Other box.** On the Other line, enter the year and the amount of both the CDS and required match (generally 5.7% *on top of the CDS amount requested*), in whole numbers and separated by commas. See graphic at left below for an example.

- If CDS has been *awarded*, **check box #3 AND the Other box**. On the Other line, enter the year and the amount of both the CDS and required match (generally 5.7% *on top of the CDS amount requested*), in whole numbers and separated by commas. See graphic at right below.
- **DO NOT include** the formula federal aid, the AZ SMART request, Legislative Appropriations, Congressionally Directed Spending, the Federal Grant, Applicant's own funds or any other sources.

**NOTE:** Most CDS awards require a match of 5.7%.

#### Requested but not awarded

Congressionally Directed Spending (CDS) \*

**INSTRUCTIONS:** Indicate if Congressionally Directed Spending has been requested from a member of Congress for this Project.

- If no CDS has been requested, check box #1.
- If CDS has been *requested but not awarded*, **check box #2 AND the Other box**. On the Other line, enter the year and the amount of both the CDS and required match (generally 5.7% *on top of the CDS amount requested*), in whole numbers and separated by commas. **Example response: 2024, \$94,300, \$5,700**
- If CDS has been *awarded*, **check box #3 AND the Other box**. On the Other line, enter the year and the amount of both the CDS and required match (generally 5.7% *on top of the CDS amount requested*), in whole numbers and separated by commas. **Example response: 2026, \$1,000,000, \$57,000**
- **DO NOT include** the formula federal aid, the AZ SMART request, Legislative Appropriations, Congressionally Directed Spending, the Federal Grant, Applicant's own funds or any other sources.

**NOTE:** Most CDS awards require a match of 5.7%.

☐ 1. No CDS

☒ 2. CDS has been requested (enter info on Other line)

☐ 3. CDS has been awarded (enter info on Other line)

☒ Other: 2026, \$94,300, \$5,700

#### Awarded

Congressionally Directed Spending (CDS) \*

**INSTRUCTIONS:** Indicate if Congressionally Directed Spending has been requested from a member of Congress for this Project.

- If no CDS has been requested, check box #1.
- If CDS has been *requested but not awarded*, **check box #2 AND the Other box**. On the Other line, enter the year and the amount of both the CDS and required match (generally 5.7% *on top of the CDS amount requested*), in whole numbers and separated by commas. **Example response: 2024, \$94,300, \$5,700**
- If CDS has been *awarded*, **check box #3 AND the Other box**. On the Other line, enter the year and the amount of both the CDS and required match (generally 5.7% *on top of the CDS amount requested*), in whole numbers and separated by commas. **Example response: 2026, \$1,000,000, \$57,000**
- **DO NOT include** the formula federal aid, the AZ SMART request, Legislative Appropriations, Congressionally Directed Spending, the Federal Grant, Applicant's own funds or any other sources.

**NOTE:** Most CDS awards require a match of 5.7%.

☐ 1. No CDS

☐ 2. CDS has been requested (enter info on Other line)

☒ 3. CDS has been awarded (enter info on Other line)

☒ Other: 2024, \$1,000,000, \$57,000

- d. **Legislative Appropriation (Leg approp).** Indicate if an appropriation has been requested from the Arizona Legislature for this Project.

- If no Leg approp has been requested, check box #1.
- If a Leg approp has been *requested but not yet awarded*, **check box #2 AND the Other box**. On the Other line, enter the year and the amount in whole numbers and separated by commas. See graphic at left below.
- If a Leg approp has been *awarded*, **check box #3 AND the Other box**. On the Other line, enter the year and the amount in whole numbers and separated by commas. See graphic at right below.
- **DO NOT include** formula federal aid, the AZ SMART request, Congressionally Directed Spending, the Federal Grant, Applicant's own funds or any other sources.



### Requested but not yet awarded

Legislative Appropriation (Leg approp) \*

**INSTRUCTIONS:** Indicate if an appropriation has been requested from the Arizona Legislature for this Project.

- If no Leg Approp has been requested, check box #1.
- If a Leg Approp has been *requested but not awarded*, **check box #2 AND the Other box**. On the Other line, enter the year and the amount in whole numbers and separated by commas. *Example response: 2027, \$250,000*
- If a Leg Approp has been *awarded*, **check box #3 AND the Other box**. On the Other line, enter the year and the amount in whole numbers and separated by commas. *Example response: 2027, \$500,000*
- **DO NOT include** formula federal aid, the AZ SMART request, Congressionally Directed Spending, the Federal Grant, Applicant's own funds or any other sources.

☐ 1. No Leg Approp

☒ 2. Leg Approp has been requested (enter info on Other line)

☐ 3. Leg Approp has been awarded (enter info on Other line)

☒ Other: 2027, \$250,000

### Awarded

Legislative Appropriation (Leg approp) \*

**INSTRUCTIONS:** Indicate if an appropriation has been requested from the Arizona Legislature for this Project.

- If no Leg Approp has been requested, check box #1.
- If a Leg Approp has been *requested but not awarded*, **check box #2 AND the Other box**. On the Other line, enter the year and the amount in whole numbers and separated by commas. *Example response: 2027, \$250,000*
- If a Leg Approp has been *awarded*, **check box #3 AND the Other box**. On the Other line, enter the year and the amount in whole numbers and separated by commas. *Example response: 2027, \$500,000*
- **DO NOT include** formula federal aid, the AZ SMART request, Congressionally Directed Spending, the Federal Grant, Applicant's own funds or any other sources.

☐ 1. No Leg Approp

☐ 2. Leg Approp has been requested (enter info on Other line)

☒ 3. Leg Approp has been awarded (enter info on Other line)

☒ Other: 2025, \$632,000

e. **Other funding.** Identify any other funding which has been committed for this Project, such as from a developer, foundation, another project partner, federal/state/other grant, municipal bonds, or any other source.

- If no other funding is committed, check box #1 only.
- If other funding has been committed, **check box #2 AND the Other box**. On the Other line, enter the amount in whole numbers, the source of the funding and the year it is programmed or available. See graphic below
- **DO NOT include** formula federal aid, the AZ SMART request, Congressionally Directed Spending, the Federal Grant, Applicant's own funds or any other sources.

## 7. Federal Grant Section

Other funding \*

**INSTRUCTIONS:** Identify any other funding which has been committed for this Project, such as from a developer, foundation, another project partner, federal/state/other grant, municipal bonds, or any other source.

- If no other funding is committed to the Project, check box #1.
- If any other type of funding has already been committed, **check box #2 AND the Other box**. On the Other line, enter the source/entity providing the funding, the year of the funding (if applicable). Use whole numbers and separated with commas. **Example response: XYZ Developer, 2026, \$250,000**
- Do not include the AZ SMART request, CDS, Legislative Appropriations, federal aid formula funds or match, the Federal Grant, Applicant's own funds or any other sources.

☐ 1. No other funds committed

☒ 2. Other funds are committed (enter info on Other line)

☒ Other:     XYZ Developer, 2026, \$250,000

- a. **Federal Grant pursued.** The Applicant must identify the federal grant it intends to pursue, or has already been awarded, for the Project. Select one grant only. If the desired grant is not listed, select Other and enter the name of the grant and the applicable federal agency.

**NOTE:** The list below provided common federal discretionary grants for Surface Transportation Purposes but does not include all which may be eligible for AZ SMART. Applicants are solely responsible for identifying appropriate federal grants for the Project and may wish to consult the US Department of Transportation's [Discretionary Grants Dashboard](#).

**NOTE to Safe Streets For All (SS4A) federal grant applicants:** Please read the SS4A NOFO carefully! This grant requires awardees to be Direct Recipients, responsible for working directly with FHWA to obligate funding, obtain all applicable clearances, conducting compliance, federal grant reporting, paying costs up front and submitting to FHWA and AZ SMART for reimbursement, and all other federal requirements. ADOT cannot be a Direct Recipient under this program and does not administer SS4A projects.

- b. **Federal Grant REQUIRED Match %.** Enter the percent of the match REQUIRED by the Federal Discretionary Grant. This information is identified in the NOFO or on the grant's webpage, which may be accessed through the US Department of Transportation's [Discretionary Grants Dashboard](#). Enter a number without the percent symbol.

**NOTE:** If no match is required by the Federal Grant, AZ SMART will not provide Match funding. Matching funds beyond that required by the grant which are intended to improve the competitive position of a project is the Applicant's responsibility.

- c. **Federal Grant application phase(s).** Indicate the Project phase(s) for which funding will be/has been requested in the Federal Grant application. Check all which do or could possibly apply. If selecting "Other," please identify the phase.

**NOTE:** The Applicant is responsible for determining the eligibility of each phase under the intended Federal Grant.

- 1) Design – depending on the Federal Grant, this might include final design, right of way, environmental, or other clearances, post design services, etc.
- 2) Right of Way Acquisition
- 3) Utilities or railroad construction
- 4) Project Construction
- 5) Other – provide further information regarding other phases such as studies and planning.

- d. **Federal grant application status.** Identify the status of the Federal Grant application. Select only one. See the RFGAA for further information on submitting Federal Grant applications.

- If the Federal Grant has already been awarded, check box #1 AND the Other box. On the Other line, enter the year and amount awarded, in whole numbers and separated with commas. See graphic at left below
- If an application has been submitted but not yet awarded, check box #2 AND Other box. On the Other line, enter the year submitted and amount requested. See graphic at right below.
- In an application has not yet been submitted, select either box #3 or #4 as applicable.

#### Awarded

Federal grant application status \*

**INSTRUCTIONS:** Identify the status of the Federal Grant application. Select only one.

- If the Federal Grant has **already been awarded**, check box #1 AND the Other box. On the Other line, enter the year and amount awarded, in whole numbers and separated with commas. *Example response: 2024, \$16,250,000*
- If an application has been submitted but **not yet awarded**, check box #2 AND Other box. On the Other line, enter the year submitted and amount requested. *Example response: 2024, 16250000*
- In an application has not yet been submitted, select either box #3 or #4 as applicable.

☒ #1 Federal Grant has been awarded (enter info on Other line)

☐ #2 Application submitted but not yet awarded (enter info on Other line)

☐ #3 Application will be submitted within next 6 months.

☐ #4 Application will be submitted in more than 6 months

☒ Other: 2024, \$16,250,000

#### Applied but not yet awarded

Federal grant application status \*

**INSTRUCTIONS:** Identify the status of the Federal Grant application. Select only one.

- If the Federal Grant has **already been awarded**, check box #1 AND the Other box. On the Other line, enter the year and amount awarded, in whole numbers and separated with commas. *Example response: 2024, \$16,250,000*
- If an application has been submitted but **not yet awarded**, check box #2 AND Other box. On the Other line, enter the year submitted and amount requested. *Example response: 2024, 16250000*
- In an application has not yet been submitted, select either box #3 or #4 as applicable.

☐ #1 Federal Grant has been awarded (enter info on Other line)

☒ #2 Application submitted but not yet awarded (enter info on Other line)

☐ #3 Application will be submitted within next 6 months.

☐ #4 Application will be submitted in more than 6 months

☒ Other: 2025, \$11,000,000

- d. **Intended Project Administration.** Indicate how the Applicant intends to

administer the Project if awarded a Federal Discretionary Grant. Select only one.

- 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 – Note that 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.

#### 8. Other Required and Supplementary Documents Section

- a. **Confidential Information.** Confidential data, information or documents include trade secrets or other proprietary information. All such information must be clearly marked as CONFIDENTIAL in capital letters. ADOT must concur the information is indeed confidential. No public records may be deemed confidential.
  - If Application contains no confidential data, information or documents, check box #1.
  - If Application contains any confidential data, information or documents, **check box #2 and the Other box**. On the Other line, clearly identify the document, relevant page number(s) and the specific confidential data or information. See graphic below.

- b. **Signed Offer and Acceptance form.** Email the Offer and Acceptance form *signed by the Authorized Representative* to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below. Failure to provide this document will result in an incomplete

**Confidential Information**

**INSTRUCTIONS:** Confidential data, information or documents include trade secrets or other proprietary information. All such information must be clearly marked as CONFIDENTIAL in capital letters. ADOT must agree the information is confidential. No public records may be deemed confidential.

- If Application contains no confidential data, information or documents, check box #1.
- If Application contains any confidential data, information or documents, **check box #2 and the Other box.** On the Other line, clearly identify the document, relevant page number(s) and the specific confidential data or information.

**NOTE:** Any documents containing confidential data or information are to be clearly marked with CONFIDENTIAL in capital letters.

☐ #1 No confidential information

☒ #2 Application contains confidential information (identify on Other line)

☒ Other: Financial statements of project partner, Developer X

application which will not be reviewed, retained or considered.

**NOTE:** The signature must be applied by hand or through an electronic platform such as DocuSign. A form signed by anyone other than the Authorized Representative identified in this application or which contains a typed signature will not be accepted.

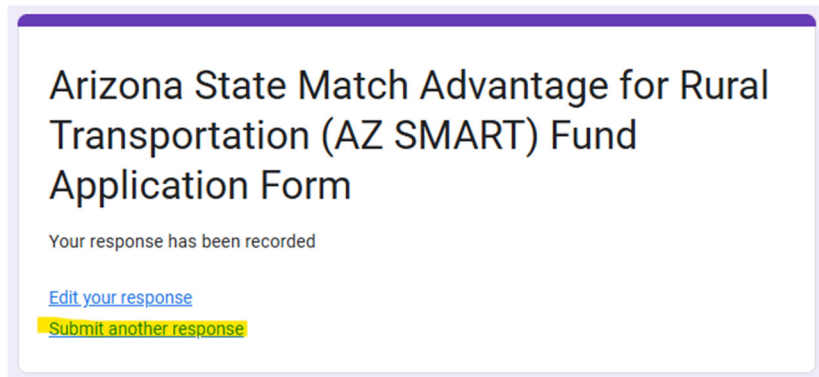
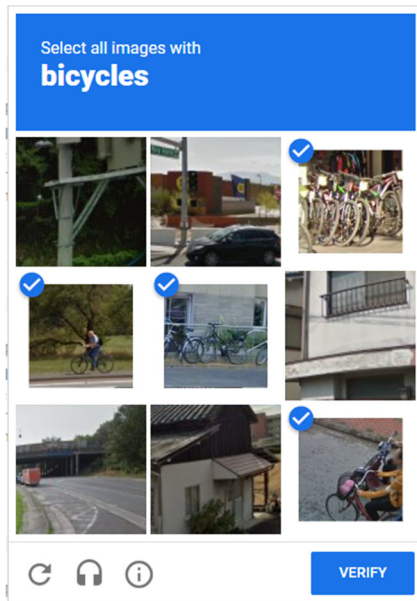
- c. **Letters of Support** – Letters of support are optional but are worth 1 point each in the Priority Criteria; a maximum of 5 letters of support may be submitted. Letters should be directed to the State Transportation Board, 206 S 17th Avenue, Phoenix, AZ 85007. Applicants for rail projects should include a letter from the host railroad and potential operator(s).
- 1) **Letter of Support #1.** Email Letter of Support #1 to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below.
  - 2) **Letter of Support #2.** Email Letter of Support #2 to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below.
  - 3) **Letter of Support #3.** Email Letter of Support #3 to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below.
  - 4) **Letter of Support #4.** Email Letter of Support #4 to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below.



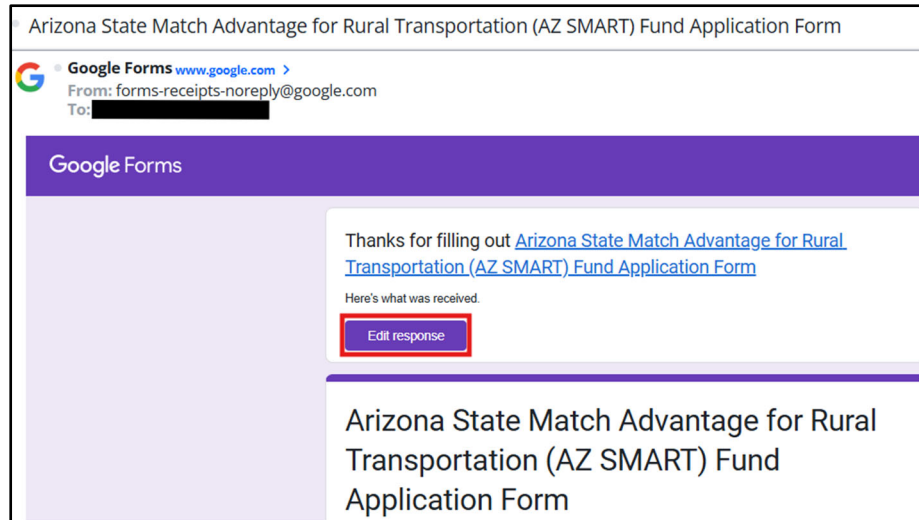
- 5) **Letter of Support #5.** Email Letter of Support #5 to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below.

**9. Application Submission.**

- a. After clicking the Submit button, the Applicant may be presented with a verification requirement (see graphic on left below). Complete the verification challenge and click *Verify*.
- b. After clicking Verify, the Arizona State Match Advantage for Rural Transportation (AZ SMART) Fund Application Form submission confirmation screen will appear (see graphic on right below). If desired, start another application by clicking on the *Submit another response* link.



- c. The person submitting the Application will receive a confirmation email containing the entire application with responses and a link to *Edit response* (see red box below). This email should be saved in case it is necessary for the Applicant to edit any responses as a result of the Courtesy Technical Review or other issues or information identified in the Review Recap.



**Application Instructions Appendix - Recommended Strategies in the 2024 Strategic Highway Safety Plan**





# 7

## RECOMMENDED STRATEGIES

## Recommended Strategies

The SHSP was prepared in collaboration with safety stakeholders and is driven by the plan's Emphasis Areas. Input from the public and stakeholders, data analysis findings, and reviews of previously completed safety planning efforts (such as ADOT's Road Safety Assessments, FHWA's *Proven Safety Countermeasures*, and the National Highway Traffic Safety Administration's *Countermeasures That Work*) aided in the development of strategies for each Emphasis Area. These strategies, once implemented, are anticipated to reduce fatalities and serious injuries in Arizona, thereby making progress towards meeting the 2024 SHSP vision and goal.

Strategies are a mix of recommendations (covering the 4 E's of traffic safety) related to infrastructure improvements; policy, process, and law modifications; enforcement activities; education campaigns; and coordination efforts with emergency medical services, vehicle manufacturers, and other safety partners. Strategies are organized within each Emphasis Area by the five Safe System elements shown below to ensure the SHSP is in alignment with FHWA's Safe System Approach.



SAFE ROADS



SAFE ROAD  
USERS



SAFE SPEEDS



SAFE VEHICLES








POST-CRASH  
CARE






Location-based strategies should be applied not only where a historical safety issue has been identified but also at locations that have high potential safety risks. Strategies that are not location-based, such as those related to modifying policies and processes, should be considered for implementation by all local, regional, state, federal, Tribal, non-profit, and private-sector safety stakeholders.

For each strategy, expected implementation timeframes, anticipated cost/level of effort, and likely impact on the number of traffic fatalities and serious injuries have been estimated at a planning-level. A priority level has been assigned for each strategy based on these three implementation parameters, with higher priority weight on those strategies projected to significantly reduce traffic fatalities and serious injuries. The recommended strategies, along with their implementation parameters and priority levels, are shown on subsequent pages for each Emphasis Area. Additional details on each recommended strategy are in **Appendix A**.






## HUMAN BEHAVIOR EMPHASIS AREA STRATEGIES

ID	STRATEGY	TIMEFRAME	COST/ EFFORT	LIKELY IMPACT	PRIORITY LEVEL
 SAFE ROADS					
HB.1A	Incorporate more forgiving design elements.	Medium term	Medium	Medium	Medium
HB.1B	Simplify roadway environment.	Medium term	Medium	Medium	Medium
 SAFE ROAD USERS					
HB.2A	Promote seat belt education program.	Short term	Low	Low	Medium
HB.2B	Promote impairment and aggressive driving enforcement and education programs.	Short term	Medium	Medium	Medium
HB.2C	Support increased safety education and testing for all road users.	Medium term	Low	Low	Low
HB.2D	Support, through the provision of information, laws and agency policies that promote safety.	Medium term	Low	Medium	Medium
HB.2E	Collaborate with stakeholders to develop positive social-norming public information media campaigns.	Medium term	Medium	Low	Low
 SAFE SPEEDS					
HB.3A	Improve driver awareness of appropriate speeds.	Short term	Medium	Low	Low
HB.3B	Increase automated/mobile enforcement of speeds.	Short term	Medium	High	High
 SAFE VEHICLES					
HB.4A	Support vehicle systems that discourage impaired driving.	Short term	Low	Low	Medium
HB.4B	Support vehicle systems that discourage distracted/drowsy driving.	Short term	Low	Low	Medium
HB.4C	Collaborate with private stakeholders on traffic safety initiatives.	Medium term	Low	Low	Low
HB.4D	Support increased vehicle inspections.	Medium term	Low	Low	Low
 POST-CRASH CARE					
HB.5A	Promote safety at crash scenes.	Short term	Medium	High	High
HB.5B	Support improvements in communication options in rural areas.	Long term	Medium	Medium	Low
HB.5C	Improve DUI training for law enforcement.	Short term	Medium	Low	Low
HB.5D	Support, through provision of information, laws related to DUI abatement.	Medium term	Low	Low	Low
HB.5E	Support, through provision of information, laws related for hit-and-run abatement.	Medium term	Low	Low	Low




## VULNERABLE ROAD USERS EMPHASIS AREA STRATEGIES

ID	STRATEGY	TIMEFRAME	COST/ EFFORT	LIKELY IMPACT	PRIORITY LEVEL
 <b>SAFE ROADS</b>					
VRU.1A	Separate VRUs from vehicles using space and time.	Long term	Medium	High	Medium
VRU.1B	Improve visibility of VRUs.	Short term	Low	Medium	High
VRU.1C	Enhance VRU connectivity.	Long term	Medium	High	Medium
VRU.1D	Incorporate VRUs more prominently in planning, design, and programming process.	Short term	Low	Medium	High
 <b>SAFE ROAD USERS</b>					
VRU.2A	Reduce VRU safety risks through education of pedestrians and bicyclists.	Medium term	Medium	Low	Low
VRU.2B	Promote driver education on VRU behaviors.	Medium term	Medium	Low	Low
VRU.2C	Clarify and enforce laws and policies for all road users related to VRUs.	Short term	Medium	Medium	Medium
 <b>SAFE SPEEDS</b>					
VRU.3A	Clarify and enforce laws and policies related to electric/micromobility devices.	Short term	Medium	Low	Low
VRU.3B	Utilize context-appropriate speed limits.	Medium term	Medium	Medium	Medium
 <b>SAFE VEHICLES</b>					
VRU.4A	Promote early implementation of automated detection of VRUs by vehicles.	Medium term	Low	Medium	Medium
VRU.4B	Support, through the provision of information, programs that incentivize lower weight and height vehicles.	Medium term	Low	Low	Low
 <b>POST-CRASH CARE</b>					
VRU.5A	Promote safety at crash scenes.	Short term	Medium	High	High
VRU.5B	Improve VRU crash and trauma data collection and sharing.	Medium term	Medium	Low	Low
VRU.5C	Improve crash and trauma data-sharing with VRU advocacy groups.	Short term	Low	Low	Medium

## INTERSECTIONS EMPHASIS AREA STRATEGIES






ID	STRATEGY	TIMEFRAME	COST/ EFFORT	LIKELY IMPACT	PRIORITY LEVEL
 <b>SAFE ROADS</b>					
INT.1A	Select appropriate intersection control.	Medium term	Medium	Medium	Medium
INT.1B	Reduce high-risk movements.	Medium term	Medium	High	High
INT.1C	Separate VRUs from vehicles using space and time.	Long term	Medium	High	Medium
INT.1D	Improve visibility for all users.	Medium term	Medium	High	High
INT.1E	Simplify intersections.	Long term	Medium	Medium	Low
 <b>SAFE ROAD USERS</b>					
INT.2A	Conduct high-visibility enforcement at intersections.	Short term	Medium	High	High
INT.2B	Improve road user education for newer treatments.	Short term	Low	Low	Medium
 <b>SAFE SPEEDS</b>					
INT.3A	Utilize context-appropriate speed limits.	Medium term	Medium	Medium	Medium
INT.3B	Reduce speeds on intersection approaches.	Long term	High	Medium	Low
INT.3C	Increase automated/mobile enforcement of speeds.	Short term	Medium	High	High
 <b>SAFE VEHICLES</b>					
INT.4A	Promote advanced warning technology.	Medium term	Low	Medium	Medium
INT.4B	Support additional needs for advanced warning technology.	Medium term	Low	Low	Low
 <b>POST-CRASH CARE</b>					
INT.5A	Promote safety at crash scenes.	Short term	Medium	High	High
INT.5B	Improve access to intersection cameras.	Medium term	Medium	Medium	Medium
INT.5C	Share agency data.	Medium term	Low	Low	Low

## LANE DEPARTURE EMPHASIS AREA STRATEGIES

ID	STRATEGY	TIMEFRAME	COST/ EFFORT	LIKELY IMPACT	PRIORITY LEVEL
	SAFE ROADS				
LD.1A	Keep vehicles in their lane.	Medium term	Medium	High	High
LD.1B	Improve recovery area.	Long term	High	Medium	Low
LD.1C	Improve roadway visibility.	Medium term	Low	High	High
LD.1D	Increase passing/climbing lane opportunities.	Long term	High	Medium	Low
LD.1E	Separate animals from vehicles using space.	Long term	Medium	Low	Low
	SAFE ROAD USERS				
LD.2A	Discourage distracted/drowsy driving.	Medium term	Medium	Low	Low
	SAFE SPEEDS				
LD.3A	Improve driver awareness of appropriate speeds.	Short term	Medium	Low	Low
LD.3B	Increase automated/mobile enforcement of speeds.	Short term	Medium	High	High
	SAFE VEHICLES				
LD.4A	Promote advanced warning technology.	Medium term	Low	Medium	Medium
LD.4B	Support additional needs for advanced warning technology.	Medium term	Low	Low	Low
	POST-CRASH CARE				
LD.5A	Promote safety at crash scenes.	Short term	Medium	High	High
LD.5B	Support improvements in communication options in rural areas.	Long term	Medium	Medium	Low
LD.5C	Share agency data.	Medium term	Low	Low	Low







## TRIBAL LANDS EMPHASIS AREA STRATEGIES

ID	STRATEGY	TIMEFRAME	COST/ EFFORT	LIKELY IMPACT	PRIORITY LEVEL
	SAFE ROADS				
TL.1A	Keep vehicles in their lane.	Medium term	Medium	High	High
TL.1B	Improve recovery area.	Long term	High	Medium	Low
TL.1C	Minimize roadside object crash severity.	Long term	High	Medium	Low
TL.1D	Separate animals from vehicles using space.	Long term	Medium	Low	Low
TL.1E	Simplify roadway environment.	Medium term	Medium	Medium	Medium
	SAFE ROAD USERS				
TL.2A	Promote seat belt education program.	Short term	Low	Low	Medium
TL.2B	Promote impairment and aggressive driving enforcement and education programs.	Short term	Medium	Low	Low
TL.2C	Support increased safety education and testing for all road users.	Medium term	Low	Low	Low
TL.2D	Support, through the provision of information, laws and agency policies that promote safety.	Medium term	Low	Medium	Medium
TL.2E	Conduct high-visibility enforcement at intersections.	Short term	Medium	High	High
TL.2F	Collaborate with stakeholders to develop positive social-norming public information media campaigns.	Medium term	Medium	Low	Low
	SAFE SPEEDS				
TL.3A	Improve driver awareness of appropriate speeds.	Short term	Medium	Low	Low
TL.3B	Increase automated/mobile enforcement of speeds.	Short term	Medium	High	High
	SAFE VEHICLES				
TL.4A	Support vehicle systems that discourage impaired driving.	Short term	Low	Low	Medium
TL.4B	Support vehicle systems that discourage distracted/drowsy driving.	Short term	Low	Low	Medium
TL.4C	Collaborate with private stakeholders on traffic safety initiatives.	Medium term	Low	Low	Low
TL.4D	Support increased vehicle inspections.	Medium term	Low	Low	Low
	POST-CRASH CARE				
TL.5A	Promote safety at crash scenes.	Short term	Medium	High	High
TL.5B	Support improvements in communication options in rural areas.	Long term	Medium	Medium	Low
TL.5C	Improve Tribal crash data collection and sharing.	Short term	Low	Medium	High

## SUMMARY OF HIGH-PRIORITY RECOMMENDED STRATEGIES

High-priority recommended strategies, organized by Safe System element, are summarized in **Table 1**. It is recommended that the Emphasis Area teams initially focus on implementing the high-priority strategies in coordination with other safety partners and stakeholders. Opportunities to advance lower-priority recommended strategies should also be pursued as resources, funding, and time permit. These recommended strategies, once implemented, are anticipated to significantly reduce crash-related fatalities and serious injuries, working towards the vision of everyone arriving safely home every day.






Table 1. High-Priority Recommended Strategies

ID	STRATEGY
	<b>SAFE ROADS</b>
VRU.1B, INT.1D, LD.1C	Improve visibility of VRUs, all users, and roadway features.
VRU.1D	Incorporate VRUs more prominently in planning, design, and programming process.
INT.1B	Reduce high-risk movements.
LD.1A, TL.1A	Keep vehicles in their lane.
	<b>SAFE ROAD USERS</b>
INT.2A, TL.2E	Conduct high-visibility enforcement at intersections.
	<b>SAFE SPEEDS</b>
HB.3B, INT.3C, LD.3B, TL.3B	Increase automated/mobile enforcement of speeds.
	<b>POST-CRASH CARE</b>
HB.5A, VRU.5A, INT.5A, LD.5A, TL.5A	Promote safety at crash scenes.
TL.5C	Improve Tribal crash data collection and sharing.

*Note: No high-priority strategies were recommended within the Safe Vehicles Safe System element.*







## TRIBAL LANDS EMPHASIS AREA STRATEGIES

ID	STRATEGY	TIMEFRAME	COST/ EFFORT	LIKELY IMPACT	PRIORITY LEVEL
	SAFE ROADS				
TL.1A	Keep vehicles in their lane.	Medium term	Medium	High	High
TL.1B	Improve recovery area.	Long term	High	Medium	Low
TL.1C	Minimize roadside object crash severity.	Long term	High	Medium	Low
TL.1D	Separate animals from vehicles using space.	Long term	Medium	Low	Low
TL.1E	Simplify roadway environment.	Medium term	Medium	Medium	Medium
	SAFE ROAD USERS				
TL.2A	Promote seat belt education program.	Short term	Low	Low	Medium
TL.2B	Promote impairment and aggressive driving enforcement and education programs.	Short term	Medium	Low	Low
TL.2C	Support increased safety education and testing for all road users.	Medium term	Low	Low	Low
TL.2D	Support, through the provision of information, laws and agency policies that promote safety.	Medium term	Low	Medium	Medium
TL.2E	Conduct high-visibility enforcement at intersections.	Short term	Medium	High	High
TL.2F	Collaborate with stakeholders to develop positive social-norming public information media campaigns.	Medium term	Medium	Low	Low
	SAFE SPEEDS				
TL.3A	Improve driver awareness of appropriate speeds.	Short term	Medium	Low	Low
TL.3B	Increase automated/mobile enforcement of speeds.	Short term	Medium	High	High
	SAFE VEHICLES				
TL.4A	Support vehicle systems that discourage impaired driving.	Short term	Low	Low	Medium
TL.4B	Support vehicle systems that discourage distracted/drowsy driving.	Short term	Low	Low	Medium
TL.4C	Collaborate with private stakeholders on traffic safety initiatives.	Medium term	Low	Low	Low
TL.4D	Support increased vehicle inspections.	Medium term	Low	Low	Low
	POST-CRASH CARE				
TL.5A	Promote safety at crash scenes.	Short term	Medium	High	High
TL.5B	Support improvements in communication options in rural areas.	Long term	Medium	Medium	Low
TL.5C	Improve Tribal crash data collection and sharing.	Short term	Low	Medium	High

## SUMMARY OF HIGH-PRIORITY RECOMMENDED STRATEGIES

High-priority recommended strategies, organized by Safe System element, are summarized in **Table 1**. It is recommended that the Emphasis Area teams initially focus on implementing the high-priority strategies in coordination with other safety partners and stakeholders. Opportunities to advance lower-priority recommended strategies should also be pursued as resources, funding, and time permit. These recommended strategies, once implemented, are anticipated to significantly reduce crash-related fatalities and serious injuries, working towards the vision of everyone arriving safely home every day.

Table 1. High-Priority Recommended Strategies

ID	STRATEGY
	<b>SAFE ROADS</b>
VRU.1B, INT.1D, LD.1C	Improve visibility of VRUs, all users, and roadway features.
VRU.1D	Incorporate VRUs more prominently in planning, design, and programming process.
INT.1B	Reduce high-risk movements.
LD.1A, TL.1A	Keep vehicles in their lane.
	<b>SAFE ROAD USERS</b>
INT.2A, TL.2E	Conduct high-visibility enforcement at intersections.
	<b>SAFE SPEEDS</b>
HB.3B, INT.3C, LD.3B, TL.3B	Increase automated/mobile enforcement of speeds.
	<b>POST-CRASH CARE</b>
HB.5A, VRU.5A, INT.5A, LD.5A, TL.5A	Promote safety at crash scenes.
TL.5C	Improve Tribal crash data collection and sharing.

*Note: No high-priority strategies were recommended within the Safe Vehicles Safe System element.*

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

Please read the entire [Request for Grant Applications and Agreement](#) ("RFGAA") before starting this Application. The Application must be completed in a single sitting and 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.

**Required Documents:** The following documents are required and should be assembled in advance of completing this application. ***These documents must be emailed to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and the names of the files identified as requested in this application.*** Documents may be sent in multiple emails. Failure to submit all documents will result in an incomplete application which will not be reviewed, retained or considered.

1. Applicant audited financial statements for the 3 most recent years.
2. If Applicant is a corporation: executed legal organizing documents such as Articles of Incorporation and IRS Determination Letter of non-profit status if a non-profit.
3. Project map clearly identifying the road(s) with beginning and ending termini or study area.
4. COG/MPO approval letter required by ARS §28-399.H.
5. Evidence of public support for the project (approved TIP, general plan or public meeting minutes)
6. Executed governing body resolution.
7. Scoping letter, project assessment or other technical documentation.
8. Project budget using the required [AZ SMART Cost Estimate Tool](#) for design and construction. Planning projects may submit another format with detailed expenditures. Lump sums are not acceptable.
9. Procurement solicitation, if requesting reimbursement of DOES or Match expenditures incurred after September 14, 2024.
10. Signed Offer and Acceptance form.
11. Up to five letters of support.

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.

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\* Indicates required question

1. Email \*

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Applicant Information

2. Name of Applicant \*

**INSTRUCTIONS:** 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.

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3. Applicant type \*


**INSTRUCTIONS:** Select only one. "Non-governmental entity" means individuals, associations, clubs, corporations, any other private entity, or any organizations which are not cities/towns, counties, Tribal Nations, political subdivisions of this State, or ADOT. A non-governmental entity must be identified in the Notice of Funding Opportunity (NOFO) or federal statute as an eligible applicant for the Federal Grant identified in this application.

*Mark only one oval.*

- ☐ Municipality
- ☐ County
- ☐ Tribal Nation
- ☐ Metropolitan Planning Organization (MPO)
- ☐ Other Political Subdivision
- ☐ Non-governmental entity, including Councils of Governments (COG)
- ☐ Other: 

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4. Applicable COG/MPO \*

**INSTRUCTIONS:** Select the COG/MPO in which the Project is located. This will be the same COG/MPO providing the required letter of approval. If Project  Dropdown crosses COG/MPO boundaries, select the one in which the greatest percentage of the Project is located.

*Mark only one oval.*

- ☐ Bullhead City Metropolitan Planning Organization (BHCMPO)
- ☐ Central Arizona Governments (CAG)
- ☐ Central Yavapai Metropolitan Planning Organization (CYMPO)
- ☐ Flagstaff Metropolitan Planning Organization (MetroPlan)
- ☐ Lake Havasu Metropolitan Planning Organization (LHMPO)
- ☐ Northern Arizona Council of Governments (NACOG)
- ☐ Sierra Vista Metropolitan Planning Organization (SVMPO)
- ☐ Southeastern Arizona Governments Organization (SEAGO)
- ☐ Sun Corridor Metropolitan Planning Organization (SCMPO)
- ☐ Western Arizona Council of Governments (WACOG)
- ☐ Yuma Metropolitan Planning Organization (YMPO)

5. Federal Discretionary Grants awarded in last 2 years \*

**INSTRUCTIONS:** Identify any Federal Discretionary Grant(s) awarded in the last 2 years, including the name of the project(s) and year(s) and amount(s) awarded, or enter "NA." Federal Discretionary Grants include Local and Regional Project Assistance (RAISE), Safe Streets for All (SS4A), and many others *awarded by a federal agency* (not ADOT or a COG/MPO). **DO NOT include** formula federal aid such as Surface Transportation Block Grant (STBGP), Highway Safety Improvement Program (HSIP), Transportation Alternatives (TA), Off System Bridge (OSB), appropriations from the Arizona Legislature, or Congressionally Directed Spending (federal earmarks). Limited to 500 characters, including punctuation and spaces. **Example response:** First Avenue and Central St intersection, RAISE, 2024, \$12,600,000

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6. Formula federal aid projects funded in last 2 years \*

**INSTRUCTIONS:** Identify any formula federal aid projects funded in the last 2 years, including the name of the project(s), year(s) and amount(s) received, or enter "NA." Formula federal aid includes Surface Transportation Block Grant (STBGP), Highway Safety Improvement Program (HSIP), Transportation Alternatives (TA), Off System Bridge (OSB), etc. *provided by ADOT or a COG/MPO* (not a federal agency). **DO NOT include** appropriations from the Arizona Legislature, Congressionally Directed Spending (federal earmarks) or Federal Discretionary Grants. Limited to 500 characters, including punctuation and spaces. **Example response:** Main Street from Pine Ave to Willow Rd, HSIP, 2023, \$320,000

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7. Applicant financial statements for last 3 fiscal years. \*

**INSTRUCTIONS:** Enter links to the audited financial statements. If not online, email [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name(s) of that electronic file(s) below. Data from the financial statements will be used to calculation the Quick Ratio for Applicants requesting approval to self-administer design or 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.

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8. Legal organizing documents (non-governmental entities only)

**INSTRUCTIONS:** Email the entity's legal organizing documents such as Articles of Incorporation to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.

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9. IRS Determination Letter (nonprofits only)

**INSTRUCTIONS:** If a non-profit, email the IRS Determination Letter to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below. 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.

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Applicant Contacts

All contact information must be provided with the exception of the Consultant.

10. Authorized Representative Name and Title \*

**INSTRUCTIONS:** This individual is the person authorized by the Applicant governing body to sign the Offer in this RFGAA and commit the Applicant to a contractual relationship. The Authorized Representative must have legal authority to sign binding contracts, including the [Request for Grant Application and Agreement](#), on behalf of the Applicant.

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11. Authorized Representative 10-digit office phone number \*

**INSTRUCTIONS:** Please include the extension, if any.

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12. Authorized Representative work mailing address \*

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13. Authorized Representative email address \*

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14. Authorized Representative Certification \*

**INSTRUCTIONS:** The Authorized Representative is required to certify he/she has read and understands both the [RFGAA](#) and the most current document on the [Questions and Answers page](#) which is the only official source of updates, clarifications and revisions to the [RFGAA](#). The most recent version of this information will be incorporated into the RFGAA.



*Mark only one oval.*

☐ I certify I have read and understand both the RFGAA and the Questions and Answers on the AZ SMART website.

15. Applicant's **Project Administration Contact** Name and Title \*

**INSTRUCTIONS:** This is the individual who will work with ADOT on the study, design, or construction of the Project identified in this application.

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16. Applicant Project Administration Contact 10-digit office phone number \*

**INSTRUCTIONS:** Please include the extension, if any.

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17. Applicant Project Administration Contact work mailing address \*

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18. Applicant Project Administration Contact email address \*

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19. Applicant's **Agreement Administration Contact** Name and Title \*

**INSTRUCTIONS:** This is the individual ADOT will contact regarding contractual matters related to the [RFGAA](#).

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20. Applicant Agreement Administration Contact 10-digit office phone number \*

**INSTRUCTIONS:** Please include the extension, if any.

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21. Applicant Agreement Administration Contact work mailing address \*

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22. Applicant Agreement Administration Contact email address \*

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23. Applicant's **Financial Administration Contact** Name and Title \*

**INSTRUCTIONS:** This individual is the individual ADOT will contact regarding invoices and other financial matters related to the [RFGAA](#).

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24. Applicant Financial Administration Contact 10-digit office phone number \*

**INSTRUCTIONS:** Please include the extension, if any.

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25. Applicant Financial Administration Contact work mailing address \*

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26. Applicant Financial Administration Contact email address \*

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27. Applicant's **Consultant Contact** Name, Company and Title

**INSTRUCTIONS:** Provide this information only if the AZ SMART application is being prepared by a consultant. Skip this contact if not applicable.

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28. Applicant Consultant Contact 10-digit office phone number. Skip if not applicable.

**INSTRUCTIONS:** Please include the extension, if any.

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29. Applicant Consultant Contact work mailing address.

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30. Applicant Consultant Contact email address.

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### Project Details


31. Project Name \*

**INSTRUCTIONS:** Enter the name(s) of street/route, etc. and the beginning and ending termini or other site specific information which will enable the project to be identified on a map. Limited to 250 characters, including spaces and punctuation. **DO NOT use** a marketing/branding name such as Downtown Infrastructure Improvements and **DO NOT include** any other type of information. Please follow the FHWA Project Naming Guidelines included in the [RFGAA](#).

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32. Functional Classification of street/route \*

**INSTRUCTIONS:** For assistance in determining the Functional Classification, see the [ADOT Functional Classification](#) map. Select “Not Applicable” for other projects

 Dropdown

*Mark only one oval.*

- ☐ Principal Arterial - Interstate
- ☐ Principal Arterial - Freeway
- ☐ Principal Arterial - Other
- ☐ Minor Arterial
- ☐ Major Collector
- ☐ Minor Collector
- ☐ Local
- ☐ Not applicable

33. Project Type \*

**INSTRUCTIONS:** Select one only. If the desired project type is not listed, select Other and provide a BRIEF description of no more than 25 characters, including spaces and punctuation.

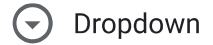
**NOTE REGARDING MULTIMODAL PROJECTS:** AZ SMART may only fund road, bridge, transit or rail components of a Multimodal project. This AZ SMART application should address only the eligible components of a multimodal project.

*Mark only one oval.*

- ☐ Road
- ☐ Bridge
- ☐ Transit
- ☐ Rail
- ☐ Multimodal
- ☐ Bike/pedestrian
- ☐ Plan, Study, etc.
- ☐ Other: \_\_\_\_\_

34. Project Funding Category \*

**INSTRUCTIONS:** Identify in which of the following categories the project is located. Select one only. If Project crosses a city or county boundary, select the Funding Category in which the greatest percentage of the Project is located. The ADOT system option is reserved for ADOT applications only and should not be used by other applicants.



**NOTE:** Select a County option for projects located in *unincorporated* areas of a County. The County population is based on the total from the most recent decennial census, including in cities, towns and unincorporated areas.

*Mark only one oval.*

- ☐ Municipality over 10K population
- ☐ Municipality under 10K population
- ☐ County over 100K population
- ☐ County under 100K population
- ☐ ADOT system (ADOT applications only)

35. Project Map \*

**INSTRUCTIONS:** Email a PDF map clearly identifying Project location (route/street with beginning and ending termini noted) or study area to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.

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36. Required COG/MPO approval letter \*

**INSTRUCTIONS:** Email the required approval letter from the COG/MPO in which the largest share of the project is located to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below. The letter must be on COG/MPO letterhead, indicate *approval* of the project and be signed and dated. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.

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37. Evidence of Public Support \*

**INSTRUCTIONS:** Identify the document which includes the Project - select only one. TIPs, CIPs and General Plans must be *approved*, not draft or pending approval. The Priority Criteria scores (15 points maximum) for each option are identified below.

Dropdown

*Mark only one oval.*

- ☐ Currently approved Regional or Tribal Transportation Improvement Program OR the currently Approved ADOT 5-yr Program (15 points)
- ☐ Currently approved Municipal or County General Plan, Capital Improvement Program or other current, publicly adopted jurisdictional capital plan (10 points)
- ☐ Minutes of a public meeting or study session of jurisdiction in which Project is located (5 points)
- ☐ Project is not in an adopted planning document and/or has not been discussed in public meetings or study session (0 points)

38. Link to Public Support document \*

**INSTRUCTIONS:** Provide a web link to the document evidencing public support for the Project *and identify the page number on which the project is listed*. If not posted on the internet, email the document to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.

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39. Governing body resolution \*

**INSTRUCTIONS:** Email the governing body resolution to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below. The resolution must be approved, dated and signed. Failure to provide this document will result in an incomplete application which will not be reviewed, retained or considered.

**NOTE:** A [Sample Resolution](#) is provided in the RFGAA. Applicants may adapt the style of the resolution as desired. However, **all provisions identified in the 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.

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40. Project Purpose \*

**INSTRUCTIONS:** This is one of the most important elements of the application. What problem does this Project address? Response should be as succinct and objective as possible. **DO NOT repeat** information provided in the Project Need or Scope. See FHWA's [Purpose, Need and Alternatives](#) for further information and guidance. Limited to 1000 characters, including punctuation and spaces.

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41. Project Need \*

**INSTRUCTIONS:** This is one of the most important elements of the application. Provide **DATA** which substantiates the need for the project such as crash data, average daily traffic, or other applicable statistics. Response should be as succinct and objective as possible. **DO NOT repeat** information provided in the Project Purpose or Scope. See FHWA's [Purpose, Need and Alternatives](#) for further information and guidance. Limited to 1000 characters, including punctuation and spaces.

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42. Safety Improvements Strategies \*

**INSTRUCTIONS:** What safety strategies are addressed by the [Project](#)? See the [Appendix](#) to these Application Instructions for strategies in the 2024 [Strategic Highway Safety Plan](#). Check all that apply. To identify strategies not listed in the options provided, check the Other box and enter the specific strategy(ies) on the Other line. Safety improvements addressing the selected strategy(ies) must be identified in the Project Scope.

**NOTE:** This question is worth up to 15 points in the Priority Criteria. See the [RFGAA](#) for further information on points awarded for these options.

*Check all that apply.*

- ☐ Safety of vulnerable road/non-motorized users
- ☐ Intersection safety
- ☐ Roadway lane departures
- ☐ Project does not address safety improvements
- ☐ Other: \_\_\_\_\_

43. Project Scope \*

**INSTRUCTIONS:** This is one of the most important elements of the application. Clearly identify the specific work elements to be undertaken, including safety improvements. **DO NOT repeat** information provided in the Project Purpose and Need. See the Application Instructions in the [RFGAA](#) for further information and guidance. Limited to 2000 characters, including punctuation and spaces.

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44. Scoping Letter or Project Assessment \*

**INSTRUCTIONS:** Please email the Scoping Letter, Project Assessment, or other technical documentation describing the Project to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the file name below. **DO NOT** give general descriptions. Provide as much technical detail as possible, including study/plan components, expected treatment types, lengths, locations, etc. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.

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45. Right of Way \*

**INSTRUCTIONS:** If the Project is:

- Completely contained in Applicant's Right of Way, check box #1.
- Involves any Right of Way owned by others, check box #2 AND the "Other" box. In the Other field, identify the owners, parcel numbers, status of discussions or approvals from each owner and any known issues.
- Non-infrastructure, check box #3.

**NOTE:** Applicants are responsible for identifying Right of Way ownership and issues before applying. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.

*Check all that apply.*

- ☐ 1. Project is completely contained in Applicant's right of way
- ☐ 2. Project involves right of way owned by others (see Instructions above for this question)
- ☐ 3. Not applicable (non-infrastructure projects only)
- ☐ Other: \_\_\_\_\_

46. Environmental and other impacts \*

**INSTRUCTIONS:** Identify any tribal or federal lands, protected species, wetlands, etc. involved or impacted by the project. Briefly summarize the physical/natural environmental, socioeconomic and cultural impacts of the project. **DO NOT repeat** information provided under Project Purpose, Need, Scope, etc. Limit response to 1,000 characters, including spaces and punctuation. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.

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47. Railroad impacts \*

**INSTRUCTIONS:** If Project is located within 1/2 mile of a railroad, identify the railroad, area/crossing involved, anticipated impacts and the status of discussions, negotiations and clearances with the railroad company. If none, enter "None". Limit response to 1,000 characters, including spaces and punctuation. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.

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48. Utility impacts \*

**INSTRUCTIONS:** If Project will impact utilities, identify each utility involved, anticipated impacts and the status of discussions, negotiations and clearances with the utility company. If none, enter "None". Limit response to 1,000 characters, including spaces and punctuation. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.

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49. Irrigation facility impacts \*

**INSTRUCTIONS:** If Project will impact an irrigation facility, identify the owner and specific facility involved, anticipated impacts and the status of discussions, negotiations and clearances with the facility owner. If none, enter "None". Limit response to 1,000 characters, including spaces and punctuation. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.

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50. Project Schedule \*

**INSTRUCTIONS:** Check only one box in each row to indicate the current status of each phase. Planning, studies and non-infrastructure projects - check the boxes under Not Applicable for all rows.

*Check all that apply.*

	Not started	In progress	Completed	Not Applicable
Scoping (up to 15% design)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Right of Way	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Utilities/Railroads	<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"/>
Construction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

51. Expected construction FISCAL year \*

**INSTRUCTIONS:** Enter the state FISCAL year (runs July 1 through June 30) in which construction is *reasonably expected to begin*. Consider time required to design the project, apply for a federal grant, federal agency processing and award notification and execution of a federal grant agreement. See section B.4.w. of the [Application Instructions](#) for a sample timeline. If non-infrastructure, enter "NA".

**NOTE:** The expected construction fiscal year will generally also be the Year of Expenditure (YOE) for AZ SMART projects.

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52. Construction cost estimate in YOE dollars \*

**INSTRUCTIONS:** On the *Itemized cost estimate tab* in the [AZ SMART Cost Estimate form](#), use the YOE calculator to escalate the current estimated cost of the project to the expected construction fiscal year identified in the previous question. Enter the YOE estimate below in whole numbers (for example, 250000). If non-infrastructure, enter "Not applicable".

**NOTE:** The YOE construction estimate should be the amount reflected in the TIP in the expected construction fiscal year.

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53. Project Budget \*

**INSTRUCTIONS:** This is one of the most important elements of the **application**. Thoroughly complete the required [AZ SMART Cost Estimate Tool](#) showing the Project Budget, email it to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the file name below. **DO NOT** delete rows or columns, revise formulas or otherwise change the AZ SMART Cost Estimate Tool file. Non-infrastructure cost estimates may use another format but must be broken out by work component. **Lump sum budgets will not be accepted.** See the Application Instructions in the [RFGAA](#) for important information and guidance. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.

**NOTE:** The amounts shown in the Project Budget should match the TIP, Capital Improvement Plan or other documents provided to demonstrate evidence of public support.

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54. Source of cost estimates \*

**INSTRUCTIONS:** If "Other" is selected, identify the **source and date** of the cost estimate.

*Mark only one oval.*

- ☐ Developed by the Applicant within the last 6 months
- ☐ Developed by the Applicant more than 6 months ago
- ☐ Developed by an engineering consultant within the last 6 months
- ☐ Developed by an engineering consultant more than 6 months ago
- ☐ Other: \_\_\_\_\_

55. Project Development Administration fees \*

**INSTRUCTIONS:** If applying for DOES or Match for a federal grant that will fund any portion of design, indicate if the Project Budget includes *initial* ADOT Project Development (PDA) fees of \$50,000. If non-infrastructure or no design work is contemplated, enter "Not applicable".

**NOTE regarding PDA fees:** ADOT will generally administer DOES projects (unless otherwise determined) and PDA fees will apply. *Initial* PDA fees of \$50,000 are eligible for AZ SMART funding **only if they are included in the Project Budget** submitted with the AZ SMART application. ADOT may recommend a different initial amount during the Courtesy Technical Review. Any initial amount is an estimate only and additional PDA fees may be required. 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.

*Mark only one oval.*

- ☐ Yes
- ☐ No
- ☐ Not applicable

56. Project's long-term impact \*

**INSTRUCTIONS:** This question is worth 5 points in the Priority Criteria - see the [RFGAA](#) for further information. Responses are limited to 1000 characters, including punctuation and spaces. Failure to provide this information will result in an incomplete application which will not be reviewed, retained or considered.

- **Infrastructure Projects** - Identify the estimated costs to operate and maintain the Project and the sources of the funding for these activities.
- **Non-infrastructure Projects** - Identify how and when the study, plan, etc. will be implemented.

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AZ SMART Request

**ARS §28-339.D requires DOES and Match expenditures to meet Federal Standards**, which has been defined in the [RFGAA](#) (see Definitions). Applicants should not request funding for expenditures that do not, or will not, meet Federal Standards. Direct Recipients and self-administering Applicants are required to provide contract(s) or solicitation(s) under which DOES or Match expenditures were procured.

**NOTE:** AZ SMART funding requests must be documented and identified in the Project Budget submitted with this Application.

57. GDS \$ requested

**INSTRUCTIONS:** Enter amount requested for Grant Development and Submission (GDS). The amount should be **no greater than 50% of the actual costs** to develop and submit the Federal Grant. Enter in whole dollars (for example, 10000 for a grant application expected to cost \$20,000). Skip if not requesting GDS.

**NOTE:** This Eligible Use is limited to Projects located in counties with population under 100,000 and municipalities with population under 10,000. Enter in whole dollars (for example, 250000).

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58. GDS \$ purpose

**INSTRUCTIONS:** Identify if the requested GDS funding will be used to reimburse prior GDS expenditures for this Project or to fund development/submission of a future Federal Grant application. Skip if not requesting GDS.

**NOTE:** Eligible Expenditures for GDS are those incurred after September 14, 2024. If awarded GDS funds, Applicant will be required to submit invoices and proof of payment for reimbursement.

*Mark only one oval.*

- ☐ Reimburse prior GDS expenditures for a Federal Grant application for this Project.
- ☐ Develop/submit a future Federal Grant application for this Project.

59. DOES \$ requested

**INSTRUCTIONS:** Enter amount requested for Design and Other Engineering Services (DOES). The amount must be estimated in the Project Budget submitted with the Application. Enter in whole dollars (for example, \$250,000). Skip if not requesting DOES.

**NOTE regarding PDA fees:** ADOT will administer DOES projects (unless otherwise determined) and PDA fees will apply. *Initial* PDA fees of \$50,000 are eligible for DOES **only if included in the Project Budget** submitted with the AZ SMART application. ADOT may recommend a different initial amount during the Courtesy Technical Review. Any *initial* amount is an estimate only and additional PDA fees may be required. 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.

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60. Match \$ requested

**INSTRUCTIONS:** Enter amount requested for Match for expenditures meeting Federal Standards as defined in the [RFGAA](#). Enter in whole dollars (for example, \$65,000). Skip if not requesting Match.

**NOTE:** The amount requested must align with the Project Budget submitted with the Application. If no match is required by the Federal Grant, AZ SMART will not provide Match funding. Matching funds beyond that required by the grant which are intended to improve the competitive position of a project is the Applicant's responsibility.

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61. Procurement solicitation (reimbursements only)

**INSTRUCTIONS:** If requesting reimbursement of prior DOES or Match expenditures for this Project:

1. Email the *solicitation* under which the expenditures were procured to [azsmart@azdot.gov](mailto:azsmart@azdot.gov), and
2. Enter the amount of and purpose for which reimbursement requested (DOES or Match), followed by the name of the electronic file of the solicitation document. Reimbursement requests will not be reviewed, retained or considered until the solicitation has been received. **Example response:** \$1,000,000 for DOES. *Solicitation file name: 2024 Main St scoping.pdf*

**NOTE regarding reimbursement** of previous DOES or Match expenditures: Any amount to be reimbursed must be documented and identified in the Project Budget submitted with this Application. DOES expenditures may include costs to develop scope, schedule, budget, or other preliminary engineering costs **only if such expenditures were incurred:**

- after September 14, 2024, **AND**
- under a solicitation which meets Federal Standards as defined in the [RFGAA](#).

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62. Project financial viability \*

**INSTRUCTIONS:** Indicate if the Project will be able to proceed or can be scaled back if awarded less AZ SMART Funds than requested.

**NOTE:** The State Transportation Board may modify award amounts due to limited funding or other reasons. In such cases, the Applicant will be required to provide the remaining funding for the project and if awarded DOES, will still be required to submit a federal grant application within 2 years of the Date of Award.

*Mark only one oval.*

- ☐ Yes, Project can proceed
- ☐ Yes, but must be scaled back
- ☐ No, Project cannot proceed

Other Project Funding

This section is focused on project funding **other than AZ SMART**. Do not include any amounts requested from AZ SMART in responding to the following questions.

63. Applicant's own funds \*

**INSTRUCTIONS:** Enter amount of cash monies provided by the Applicant from its own funds which will *supplement* (not supplant) the AZ SMART request. **DO NOT include** the amount requested from AZ SMART, match on federal formula funds, Legislative Appropriations, Congressionally Directed Spending, the Federal Grant, partner or private contributions or any other sources. Enter in whole dollars (for example, \$25,000). Enter 0 if none.

**NOTE:** This question is worth up to 3 points in the Priority Criteria - see the [RFGAA](#) for further information. The amount entered here must be documented in both the Project Budget and the approved governing body resolution submitted with the Application, and will be invoiced to the applicant if ADOT is administering the Project.

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64. Federal formula funds \*

**INSTRUCTIONS:** Indicate if any federal formula funds are programmed for the Project. Federal formula funds include but are not limited to Surface Transportation Block Grant Program (STBGP), Highway Safety Improvement Program (HSIP), Transportation Alternatives (TA), Off System Bridge (OSB), Transit (5310, 5311, etc.) and other annual formula funding.

- If no federal formula funding is programmed, check box #1.
- If federal formula funding is programmed, **check box #2 AND the Other box**. On the Other line, enter the year, type of funds, and the amount of both the formula funding and required match programmed (in whole numbers and separated by commas).  
**Example response: 2027, TA, \$94,300, \$5,700**
- **DO NOT include** the AZ SMART request, Legislative Appropriations, Congressionally Directed Spending, the Federal Grant, Applicant's own funds or any other sources.

*Check all that apply.*

- ☐ 1. No federal formula funds
- ☐ 2. Federal formula funds are programmed (enter info on Other line)
- ☐ Other: \_\_\_\_\_

65. Congressionally Directed Spending (CDS) \*

**INSTRUCTIONS:** Indicate if Congressionally Directed Spending has been requested from a member of Congress for this Project.

- If no CDS has been requested, check box #1.
- If CDS has been *requested but not awarded*, **check box #2 AND the Other box**. On the Other line, enter the year and the amount of both the CDS and required match (generally 5.7% *on top of the CDS amount requested*), in whole numbers and separated by commas. **Example response: 2024, \$94,300, \$5,700**
- If CDS has been *awarded*, **check box #3 AND the Other box**. On the Other line, enter the year and the amount of both the CDS and required match (generally 5.7% *on top of the CDS amount requested*), in whole numbers and separated by commas. **Example response: 2026, \$1,000,000, \$57,000**
- **DO NOT include** the formula federal aid, the AZ SMART request, Legislative Appropriations, Congressionally Directed Spending, the Federal Grant, Applicant's own funds or any other sources.

**NOTE:** Most CDS awards require a match of 5.7%.

*Check all that apply.*

- ☐ 1. No CDS
- ☐ 2. CDS has been requested (enter info on Other line)
- ☐ 3. CDS has been awarded (enter info on Other line)
- ☐ Other: \_\_\_\_\_

66. Legislative Appropriation (Leg approp) \*

**INSTRUCTIONS:** Indicate if an appropriation has been requested from the Arizona Legislature for this Project.

- If no Leg Approp has been requested, check box #1.
- If a Leg Approp has been *requested but not awarded*, **check box #2 AND the Other box**. On the Other line, enter the year and the amount in whole numbers and separated by commas. **Example response: 2027, \$250,000**
- If a Leg Approp has been *awarded*, **check box #3 AND the Other box**. On the Other line, enter the year and the amount in whole numbers and separated by commas. **Example response: 2027, \$500,000**
- **DO NOT include** formula federal aid, the AZ SMART request, Congressionally Directed Spending, the Federal Grant, Applicant's own funds or any other sources.

*Check all that apply.*

- ☐ 1. No Leg Approp
- ☐ 2. Leg Approp has been requested (enter info on Other line)
- ☐ 3. Leg Approp has been awarded (enter info on Other line)
- ☐ Other: \_\_\_\_\_

67. Other funding \*

**INSTRUCTIONS:** Identify any other funding which has been committed for this Project, such as from a developer, foundation, another project partner, federal/state/other grant, municipal bonds, or any other source.

- If no other funding is committed to the Project, check box #1.
- If any other type of funding has already been committed, **check box #2 AND the Other box**. On the Other line, enter the source/entity providing the funding, the year of the funding (if applicable) and the amount committed. Use whole numbers and separated with commas. **Example response: XYZ Developer, 2026, \$250,000**
- Do not include the AZ SMART request, CDS, Legislative Appropriations, federal aid formula funds or match, the Federal Grant, Applicant's own funds or any other sources.

*Check all that apply.*

- ☐ 1. No other funds committed
- ☐ 2. Other funds are committed (enter info on Other line)
- ☐ Other: \_\_\_\_\_

## Federal Discretionary Grant

**NOTE:** All AZ SMART applications must be associated with a federal discretionary grant administered by a federal agency for *surface transportation purposes*. Please note Congressionally Directed Spending is not a federal grant and will not fulfill the requirement for DOES applicants to apply for a federal discretionary grant within 2 years of the Date of Award of the DOES funding.

### 68. Federal Grant pursued \*

**INSTRUCTIONS:** The Applicant must identify the federal grant it intends to pursue, or has already been awarded, for the [Project](#). Select one grant only. If the desired grant is not listed, select Other and enter the name of the grant and the applicable federal agency.

**NOTE:** The list below includes common federal discretionary grants for Surface Transportation Purposes but does not include all which may be eligible for AZ SMART. Applicants are solely responsible for identifying appropriate federal grants for the Project and may wish to consult the US Department of Transportation [Discretionary Grants Dashboard](#).

*Mark only one oval.*

- ☐ Bridge Investment Program
- ☐ Defense Community Infrastructure Pilot
- ☐ INFRA (Nationally Significant Freight and Highway Projects)
- ☐ RAISE (Local and Regional Project Assistance)
- ☐ MEGA (National Infrastructure Project Assistance)
- ☐ National Culvert Removal, Replacement and Restoration
- ☐ PROTECT
- ☐ Railroad Crossing Elimination Program
- ☐ RURAL (Rural Surface Transportation Grant Program)
- ☐ Safe Streets For all
- ☐ Transit Buses and Bus Facilities Program
- ☐ Other: \_\_\_\_\_

69. Federal Grant REQUIRED Match % \*

**INSTRUCTIONS:** Enter the percent of the match REQUIRED by the Federal Discretionary Grant. This information is identified in the NOFO or on the grant's webpage, which may be accessed through the US Department of Transportation's [Discretionary Grants Dashboard](#). Enter a number without the percent symbol. **Example response: 20%**

**NOTE:** AZ SMART will not provide match exceeding that required by the Federal Discretionary Grant. Applicants are responsible for providing any excess matching funds to improve the competitiveness of their federal application.

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70. Federal Grant application phase(s) \*

**INSTRUCTIONS:** Indicate the Project phase(s) for which funding will be/has been requested in the Federal Grant application. Check all that apply. If selecting "Other," please identify the phase.

**NOTE:** The Applicant is responsible for determining the eligibility of each phase under the intended Federal Grant.

*Check all that apply.*

- ☐ Design
- ☐ Right of Way Acquisition
- ☐ Utilities/Railroad
- ☐ Construction
- ☐ Other: \_\_\_\_\_



71. Federal grant application status \*

**INSTRUCTIONS:** Identify the status of the Federal Grant application. Select only one.

- If the Federal Grant has **already been awarded, check box #1 AND the Other box**. On the Other line, enter the year and amount awarded, in whole numbers and separated with commas. **Example response: 2024, \$16,250,000**
- If an application has been submitted but **not yet awarded, check box #2 AND Other box**. On the Other line, enter the year submitted and amount requested. **Example response: 2024, 16250000**
- In an application has not yet been submitted, select either box #3 or #4 as applicable.

*Check all that apply.*

- ☐ #1 Federal Grant has been awarded (enter info on Other line)
- ☐ #2 Application submitted but not yet awarded (enter info on Other line)
- ☐ #3 Application will be submitted within next 6 months.
- ☐ #4 Application will be submitted in more than 6 months
- ☐ Other: \_\_\_\_\_

72. Intended Project Administration \*

**INSTRUCTIONS:** Indicate how the Applicant intends to administer the Project if awarded a Federal Discretionary Grant. Select only one.

**NOTE regarding Direct Recipient and self-administered projects:**

1. ADOT cannot administer any phase or element of a SS4A grant.  
2. ADOT PDA fees *generally* do not apply to Direct Recipient and self-administered Projects as ADOT may have little or no involvement beyond an AZ SMART award. Instead, Direct Recipient and self-administered Project sponsors will be solely responsible for all aspects of delivering a federal aid project, including but not limited to:

- Working directly with the federal awarding agency to obligate funds, obtain necessary clearances, and handle all design/construction administration, reporting and compliance related to the Federal Grant such as Title VI, disadvantaged business entities, and other federal requirements.
- Preparing bid documents and 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 the federal agency and/or AZ SMART. Reimbursement may take a month or more.
- If ADOT administration is later requested by a Direct Recipient or self-administered Project sponsor, project development and/or construction administration fees will apply.

*Mark only one oval.*

- ☐ Direct Recipient if allowed in NOFO
- ☐ ADOT administration
- ☐ Other: \_\_\_\_\_

Other Required or Supplementary Information and Documents

73. Confidential Information

**INSTRUCTIONS:** Confidential data, information or documents include trade secrets or other proprietary information. All such information must be clearly marked as CONFIDENTIAL in capital letters. ADOT must agree the information is confidential. No public records may be deemed confidential.

- If Application contains no confidential data, information or documents, check box #1.
- If Application contains any confidential data, information or documents, **check box #2 and the Other box**. On the Other line, clearly identify the document, relevant page number(s) and the specific confidential data or information.

**NOTE:** Any documents containing confidential data or information are to be clearly marked with CONFIDENTIAL in capital letters.

*Check all that apply.*

- ☐ #1 No confidential information
- ☐ #2 Application contains confidential information (identify on Other line)
- ☐ Other: \_\_\_\_\_

74. Signed Offer and Acceptance form \*

**INSTRUCTIONS:** Email the Offer and Acceptance form *signed by the Authorized Representative* to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below. Failure to provide this document will result in an incomplete application which will not be reviewed, retained or considered.

**NOTE:** The signature must be applied by hand or through an electronic platform such as DocuSign. A form signed by anyone other than the Authorized Representative identified in this application or which contain a typed signature will not be accepted.

\_\_\_\_\_

75. Letter of Support #1

**INSTRUCTIONS:** Email Letter of Support #1 to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below.

**NOTE:** A maximum of 5 support letters may be submitted with the Application. Each letter is worth 1 point in the Priority Criteria - see the [RFGAA](#) for further information.

\_\_\_\_\_

76. Letter of Support #2

**INSTRUCTIONS:** Email Letter of Support #2 to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below.

**NOTE:** A maximum of 5 support letters may be submitted with the Application. Each letter is worth 1 point in the Priority Criteria - see the [RFGAA](#) for further information.

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77. Letter of Support #3

**INSTRUCTIONS:** Email Letter of Support #3 to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below.

**NOTE:** A maximum of 5 support letters may be submitted with the Application. Each letter is worth 1 point in the Priority Criteria - see the [RFGAA](#) for further information.

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78. Letter of Support #4

**INSTRUCTIONS:** Email Letter of Support #4 to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below.

**NOTE:** A maximum of 5 support letters may be submitted with the Application. Each letter is worth 1 point in the Priority Criteria - see the [RFGAA](#) for further information.

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79. Letter of Support #5

**INSTRUCTIONS:** Email Letter of Support #5 to [azsmart@azdot.gov](mailto:azsmart@azdot.gov) and enter the name of that electronic file below.

**NOTE:** A maximum of 5 support letters may be submitted with the Application. Each letter is worth 1 point in the Priority Criteria - see the [RFGAA](#) for further information.

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Thank you for your submission.