

Highway Safety Concept Paper Instructions

Fiscal Year (FY) 2019



Florida Department of Transportation
State Safety Office
Highway Safety Subgrant Program

Revised 11/2017

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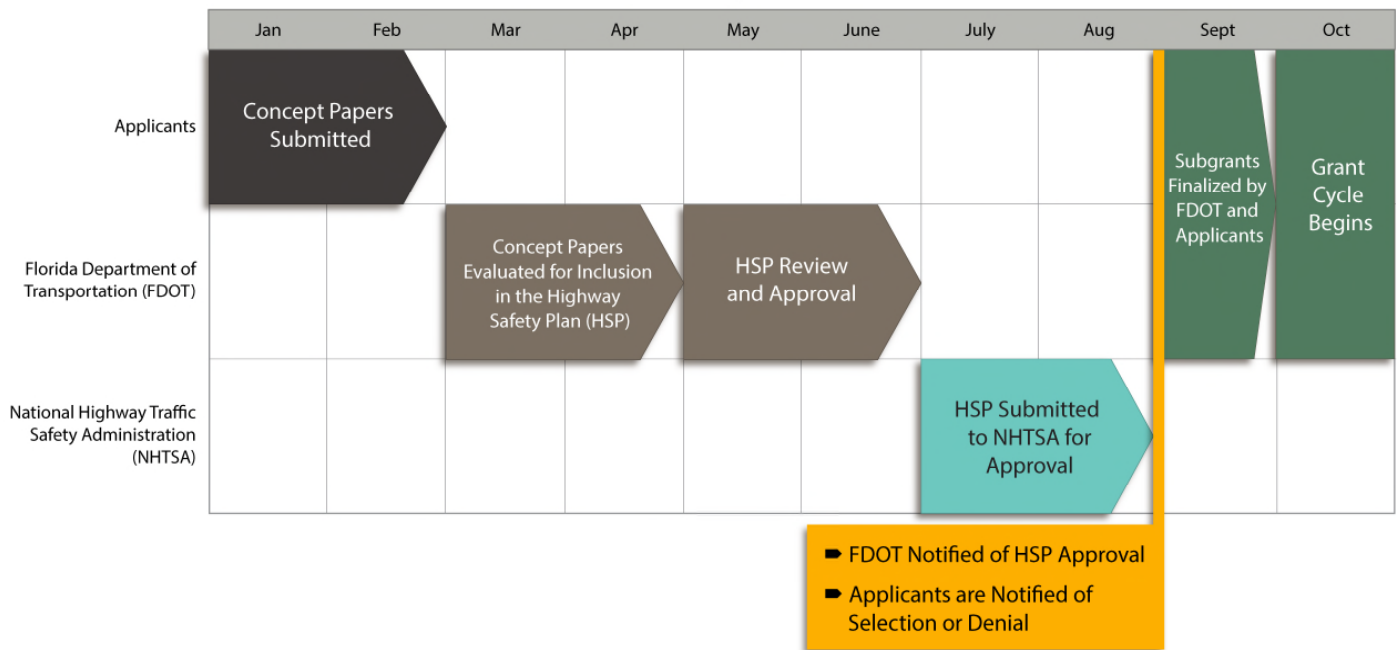
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Subgrant Overview

The Florida Department of Transportation (FDOT) State Safety Office awards subgrants to traffic safety partners to undertake priority area programs and activities to improve traffic safety and reduce crashes, serious injuries, and fatalities. A list of traffic safety priority areas along with descriptions is provided on page 6 of this document. Subgrants may be awarded for assisting in addressing traffic safety deficiencies, expansion of an ongoing activity, or development of a new program.

Subgrant Timeline

Subgrants are awarded on a federal fiscal year basis (October 1–September 30). Below is a timeline of the subgrant process.



- **January 1 – Last day of February** — Entities interested in applying for funding submit [concept papers](#) describing their proposed efforts for the next award cycle beginning October 1.
- **August – September** — Entities are notified as to whether or not their concept paper has been selected and additional information on how to complete the Subgrant for Highway Safety Funds application.
- **October 1** — Subgrant fiscal year begins
- **September 30** — Subgrant fiscal year ends

Funding

Agencies Eligible to Receive Funding

Many types of organizations are eligible to receive traffic safety subgrant funding: government agencies, political subdivisions of state, local, city and county government agencies, law enforcement agencies, state colleges and state universities, school districts, fire departments, public emergency service providers, and certain qualified non-profit organizations (e.g., MADD, SADD, foundations, etc.).

Qualified Non-Profit Organizations must provide their “Certificate of Status” from the Florida Department of State, Division of Corporations, verifying their not-for-profit status when submitting their concept paper. The “Consumer’s Certificate of Exemption” from the Florida Department of Revenue or a letter from the Department of the Treasury confirming Section 501(c)(3) status **is not sufficient to meet this requirement.**

If the non-profit organization’s project is selected for funding, it must provide a financial statement showing available funds equal to or greater than the amount of the subgrant award, at the time of award.

Funding Restrictions

Replacement/supplanting of existing program expenditures and/or items are not allowable costs. Examples of unallowable costs include but are not limited to: replacement of vehicles purchased through previous subgrants, program maintenance, rehabilitation, and construction. Other unallowable costs are dealt with on a project-by-project basis.

Funding Cycle

Subgrants are administered and funded on a federal fiscal year basis (October 1 – September 30), however the start date is always contingent upon allocation schedules of the federal dollars. Funding is approved on a yearly basis.

Local subgrants are usually not funded for more than three consecutive years in a given priority area, however evaluation and selection is done on an annual basis, so there is no guarantee that a local subgrant will be funded consecutively or for more than one year. Projects deemed as statewide activities by the FDOT State Safety Office may be funded for a longer period of time if funds are available.

Subgrants are intended to provide “seed” money to start new local programs. Projects should become self-sufficient when subgrant funding terminates. To promote self-sufficiency, agencies are expected to provide a local match when funding for personnel is included in second and third year projects. The local match is normally 25% for second year projects and 50% for third year projects.

Selection Criteria

The FDOT State Safety Office reviews all Highway Safety Concept Papers for compliance with [state and federal regulations](#). Concept papers that comply with these regulations are prioritized using the following criteria:

- Does the concept paper request satisfy a specific traffic safety need identified by the FDOT Safety Office?
- Does the agency making the funding request serve a city/county ranked in the top 25% of its population group for the priority area in which funds are being requested according to the [Florida Highway Safety Matrices](#)?
- Does the crash and/or citation data supplied in the concept paper's "Statement of the Problem" document an existing traffic safety problem?
- How does this request for funding tie into the [Strategic Highway Safety Plan](#) goals and objectives?
- If the agency was funded in the past, did it submit reports, invoices, and financial paperwork on a timely basis and implement the activities that were detailed in the subgrant agreement?
- Does the indirect cost rate requested significantly affect the proposed project's ability to adequately address the traffic safety need?

The FDOT State Safety Office is required by the National Highway Traffic Safety Administration (NHTSA) to evaluate and document the risk for each entity applying for federal subgrant funds prior to making an award. Each applicant is assessed for risk of noncompliance with federal and State statutes, federal and State regulations, terms and conditions of the subgrant as well as the applicant's financial stability, quality of management systems, history of performance, single audit compliance, and prior audit findings, if applicable. If the applicant does pose a risk, but the proposal has merit, the FDOT State Safety Office may, as a condition of awarding subgrant funds, impose specific terms or conditions. This information is used to determine the appropriate level of monitoring if a subgrant is awarded.

Projects that are ultimately selected should provide the greatest impact to the high crash, high fatality, and high injury challenges that Florida faces. If concept papers are not received from those areas identified as high crash, high fatality, and high injury, the FDOT State Safety Office may directly solicit concepts from agencies within targeted high-risk areas.

Notification

Notifications as to whether a concept paper has been selected for inclusion is sent to the head of each agency between August and September. Agencies that are selected will receive further instructions on how to complete the Subgrant for Highway Safety Funds at that time.

Traffic Safety Priority Areas

Aging Road Users – Includes traffic safety programs and skills designed to improve aging road user safety awareness, access to alternative transportation, and education. Concept papers can address areas such as education, training, surveys, and public information efforts. Items eligible for funding under this category may include but are not limited to: overtime for education, equipment for training, and public information and education materials. Funding for equipment is contingent upon an evidence of need clearly defined in the problem statement and a comprehensive plan that requires the use of the requested equipment. Subgrants for equipment only are not allowable.

Community Traffic Safety Outreach – Includes traffic safety programs identified by local communities that address crash problems, establish priorities, and develop appropriate intervention techniques. Concept papers can address areas such as education, surveys, or public information efforts. Items eligible for funding under this category may include but are not limited to: public information and education materials. Subgrants for equipment only are not allowable.

Distracted Driving – Includes traffic safety programs to increase safety awareness, prevention, and education. Concept papers can address areas such as specialized enforcement, education, training, and/or public information efforts. Items eligible for funding under this category may include but are not limited to: overtime for education, equipment for training, and public information and education materials. Funding for equipment is contingent upon an evidence of need clearly defined within the problem statement and a comprehensive plan that requires the use of the requested equipment. Subgrants for equipment only are not allowable.

Impaired Driving – Includes high visibility enforcement (HVE), youth alcohol programs, community prevention/intervention programs, and driving under the influence (DUI) courts. Concept papers can address areas such as specialized enforcement, education, training, or public information efforts. Items eligible for funding under this category may include but are not limited to: overtime, alcohol testing equipment, in-car video systems, public information and education materials, and DUI checkpoint equipment (including trailers, light towers, traffic cones, arrow boards, and generators). Funding for equipment is contingent upon an evidence of need clearly defined in the problem statement and a comprehensive enforcement plan that requires the use of the requested equipment. Subgrants for equipment only are not allowable.

Motorcycle Safety – Includes programs to increase safety awareness and skills among motorcyclists. Concept papers can address areas such as specialized enforcement, education, training, and public information efforts. Items eligible for funding under this category may include but are not limited to: overtime, equipment for training, public information and education materials. Funding for equipment is contingent upon an evidence of need clearly defined in the problem statement and a comprehensive enforcement plan that requires the use of the requested equipment. Subgrants for equipment only are not allowable.

Occupant Protection and Child Passenger Safety – Includes safety belt use awareness, safety belt and child restraint enforcement, expanding child passenger safety inspection stations, and other occupant protection educational programs. Concept papers can address areas such as training, enforcement, surveys, and public information and education materials. Funding for equipment is contingent upon an evidence of need clearly defined in the problem statement and a comprehensive enforcement plan that requires the use of the requested equipment. Subgrants for equipment only are not allowable.

Pedestrian and Bicycle Safety – Includes programs to increase safety awareness and skills among pedestrians, bicyclists, and motorists sharing the road. Concept papers can address areas such as education, training, enforcement, surveys, and public information efforts. Items eligible for funding under this category may include but are not limited to: overtime, public information and education materials, bicycle skills courses, and training for professionals involved with all aspects of pedestrian and bicycle safety. Funding for equipment is contingent upon an evidence of need clearly defined in the problem statement and a comprehensive enforcement plan that requires the use of the requested equipment. Subgrants for equipment only are not allowable.

Police Traffic Services – Includes programs related to traffic enforcement, crash investigation equipment, and general traffic safety equipment. It may also include comprehensive traffic programs (a combination of multiple priority areas in one subgrant). Concept papers should address traffic safety needs. Funding for equipment is contingent upon an evidence of need clearly defined in the problem statement and a comprehensive enforcement plan that requires the use of the requested equipment. Subgrants for equipment only are not allowable.

Public Traffic Safety Professionals Training – Includes training for public safety traffic enforcement officers, and applicable support staff in the areas such as traffic homicide investigation, traffic crash reconstruction, and DUI enforcement detection. Training classes should be designed to improve the skills and abilities of Traffic Enforcement Professionals as well as Crash Investigation personnel, and acquaint them with the new technology, theories, and techniques in their areas of practice. Items eligible for funding under this category may include but are not limited to: overtime, registration fees, and equipment for training. Subgrants for equipment only are not allowable.

Speed/Aggressive Driving – Includes speeding, aggressive driving, red light running, and other traffic enforcement activities. Concept papers can address areas such as specialized enforcement, education, and public information efforts. Items eligible for funding under this category may include but are not limited to: overtime, speed measuring devices, radar display trailers, and public information and education materials. Funding for equipment is contingent upon an evidence of need clearly defined within the problem statement and a comprehensive enforcement plan that requires the use of the requested equipment. Subgrants for equipment only are not allowable.

Teen Driver Safety – Includes traffic safety programs to increase teen driver safety awareness, prevention, and education. Concept papers can address areas such as specialized enforcement, education, training, and/or public information efforts. Items eligible for funding under this category may include but are not limited to: overtime for education, equipment for training, and public information and education materials. Funding for equipment is contingent upon an evidence of need clearly defined within the problem statement and a comprehensive plan that requires the use of the requested equipment. Subgrants for equipment only are not allowable.

Traffic Records – Includes the addition of crash, citation, roadway, and EMS data into electronic record management systems, the development of comprehensive highway safety information systems, and the automation of analytical processes. Items eligible for funding under this category may include but are not limited to: computer software (other than citation and crash form software) and hardware needed to implement TraCS or traffic records management systems. Support for proprietary crash and citation software activities are not funded because the state provides software that includes the uniform citation form, DUI citation form, DUI Pak, long and short form crash reports, and the update/continuation form is available at no charge to all Florida law enforcement agencies. However, comprehensive data system updates can be considered.

Traffic Records Coordinating Committee (TRCC) – The National Highway Traffic Safety Association (NHTSA) awards additional funding that can only be used for Traffic Records with the conditions that the distribution of these funds must be made by a Traffic Records Coordinating Committee (TRCC). The review and approval of these subgrants goes through a separate process but everything else is similar to the above Traffic Records priority area.

The funding can be used for projects that improve the accuracy, completeness, timeliness, and uniformity of the state's six traffic records systems (citation/adjudication, crash, driver, EMS/Injury Surveillance system, roadway, and vehicle), or that advance the goals and objectives of Florida's TRCC as documented in the Florida Traffic Safety Information System Strategic Plan 2012–2016. Subgrant funding can no longer be used to help purchase hardware/equipment/peripherals needed to use electronic reporting software. Clerk of Court Offices are allowed to use TRCC subgrant funding to purchase third party software to provide an interface with law enforcement agencies. If the funding will be used to purchase a Records Management System, Case Management System, or other type of overall document management system, only the portion of the system related to traffic records (e-crash or e-citation data) can be funded.

Law enforcement agencies that applied and received subgrant funding through the DHSMV Safety Data Improvement Project (SaDIP) Subgrant to purchase laptops and mounting hardware to support electronic reporting of commercial motor vehicle crashes to the State, are still eligible to apply for TRCC funding. The DHSMV subgrant funding was specific to commercial motor vehicle crash data improvements.

Agencies are encouraged to apply for both the Traffic Records and TRCC priority areas. Please note: this requires the submission of two separate concept papers! Submitting one concept paper with both boxes checked, DOES NOT constitute application for both funding sources.

Additional information in regards to the TRCC, can be found on the TRCC website at <http://www.fltrafficrecords.com>

Work Zone Safety – Includes traffic safety programs to increase work zone awareness, enforcement, and education. Concept papers can address areas such as specialized enforcement, education, training, and/or public information efforts. Items eligible for funding under this category may include but are not limited to: overtime for education, equipment for training, and public information and education materials. Subgrants for equipment only are not allowable.

Concept Paper Guidelines

Applying for Federal Highway Safety funds begins with submission of a Highway Safety Concept Paper under the following guidelines:

1. The Highway Safety Concept Paper must be submitted on the most recent version of FDOT form [500-065-17](#).
2. Additional pages, documentation, or letters of support will **not be considered**.
 - **Exception:** Not-for-profit agencies must include their “Certificate of Status” from the Florida Department of State with their Highway Safety Concept Paper.
3. A cover letter signed by the head of the agency or their authorized signatory **must** be attached to the concept paper. The cover letter must be typed on agency letterhead and state that the agency head fully supports the proposed project.

Examples of an agency head or their authorized signatory includes but is not limited to: Sheriff, Chief of Police, Fire Chief, University President, County Commission Chairperson, Mayor, City Manager, Chief of Staff, or Health Department Director.

Forms and Examples

The Highway Safety Concept Paper form, the Highway Safety Concept Paper Instructions, and Sample Highway Safety Concept Papers are available on the FDOT State Safety Office website at <http://www.fdot.gov/safety/3-Grants/Grants-conceptpapers.shtm>.

Concept Paper Submission

Mail the original concept paper and cover letter via traceable method to:

Florida Department of Transportation
Attn: Traffic Safety Administrator
State Safety Office, MS 53
605 Suwannee Street
Tallahassee, FL 32399-0450

Concept papers that are received by fax or e-mail will not be accepted.

Submission Deadline

Concept papers are accepted from January 1 through the last day of February for the next funding cycle. (E.g. Concept papers submitted January 1, 2018 will be for the October 2018 – September 2019 funding cycle.)

Concept papers that are postmarked after the last day of February will not be accepted.

Highway Safety Concept Paper Form Instructions

The Highway Safety Concept Paper must be submitted on the most recent version of FDOT form [500-065-17](#).

Applicant Information

Applicant Agency	The agency that will receive the subgrant funds. (E.g. City of Tallahassee)
Implementing Agency	The agency that will execute the subgrant tasks and objectives. (E.g. Tallahassee Police Department)
Concept Paper Title	The title for the project. Please do not use acronyms.
Amount Requested	Total funding amount requested for the proposed project.
Priority Area for Concept Paper	Select only one priority area. Agencies applying for multiple subgrants must submit a concept paper for each priority area. An overview of each priority area is provided on page 6 of this document.
Type of Project	Identify if the proposed project is local or statewide.
Type of Request	Identify if the proposed project is new (initial) or if it has been funded in previous years (continuation). For continuation requests, please include the year that the project is in (e.g. Year 1, Year 2 or Year 3) and the previous year's project number.
Ranking	Local projects must provide their city or county ranking according to the Highway Safety Data Matrices or identify if the proposed project is to address a specific identified need (must provide detailed data to support the need in the "Supporting Data" section).
Head of Agency*	Contact information for the head of the applicant agency. Must include a valid email address to receive electronic submission and selection decision notifications.
Project Contact*	Contact information for the primary project contact. Must include a valid email address to receive electronic submission and selection decision notifications.

Statement of the Problem

Identify the specific traffic safety-related problem or deficiency that the proposed project is intended to address. Please identify the associated emphasis area, pages 11 - 24, of the [Strategic Highway Safety Plan \(SHSP\)](#).

Supporting Data

Include at least three (3) years of local crash, injury, fatality, and citation data, to show the extent of the problem the proposed project will address. If the city or county is ranked lower than the top 25% according to the [Highway Safety Data Matrices](#), provide further details to support the identified need. Take into consideration changes or projected changes in population, traffic patterns, and other demographic dynamics that may affect traffic safety. Survey data can also be included in this section.

Examples:

- Provide city or county alcohol-related crash statistics (crashes, injuries, and deaths) for the past three (3) years.
- Compare local safety belt use rates to statewide rates.
- Provide three (3) years of enforcement data that reflect the problem. (E.g. show the number of citations, arrests, and special operations for your jurisdiction that reflect the problem.)

Proposed Solution

Provide the specific countermeasure(s), chapter, and section from the [Countermeasures That Work](#) guide that the proposed program will implement. Explain how each countermeasure will address the problem and how the requested funding will be used to support those countermeasure(s). If no countermeasure(s) exist, explain the basis of the proposed program strategy and how it will be effective.

Proposed solutions must show a logical relationship to the identified problem. Items listed in the concept paper budget must correlate to the Statement of the Problem and the Proposed Solution. Proposed budget and purchases must also directly relate to solving the identified problem and implementation of the solution.

Sustainability

If not a statewide project, provide a sustainability plan that clearly describes how the traffic safety efforts will be continued after the initial funding period has ended. If you cannot continue the safety efforts, provide details about what will prevent you from continuing.

Project Objectives

List the short term objectives that you have for the project. All objectives must be quantifiable, such as, "To reduce the number of crashes by 5% compared to the 3 year average of the most recent data." Baseline data should be provided for all objectives.

Examples:

- To reduce the number of crashes by 5% compared to the 3 year average of the most recent data by conducting 12 sobriety checkpoints during the subgrant period.
- To provide 12 public education outreach events in the community during the subgrant period.
- To reduce the number of alcohol-related crashes by 5% in 2019 compared to 206 crashes recorded in 2017 through high visibility enforcement.
- To reduce speed-related crashes in the city by increasing the number of speeding citations issued by 5% in 2019 as compared to the 465 citations issued in 2017.
- To reduce bicycle and pedestrian injuries and fatalities in the city by 5% during 2019 as compared to the 128 injuries reported in 2017 by conducting public awareness programs at local high schools, colleges, and businesses.
- To increase safety belt usage in the county to 87% by September 30, 2019, compared to the 76% baseline established in 2017.
- To conduct at least 60 child passenger fitting station appointments by September 30, 2019.
- To increase the number of speed-related overtime enforcement contacts by 5% compared to the same period in the previous three years.

Evaluation

For each project objective, provide an explanation describing the method that will be used to determine if the objective was met by using one or more of the following methods: Formative, Process/Administrative, Impact, and Outcome. Details about the four methods of evaluation can be found at <http://www.dot.state.fl.us/safety/3-Grants/ProgramEvaluation.pdf>.

Additional Questions for Traffic Records Coordinating Committee (TRCC) Priority Area

This section is only required to be completed if requesting funding from the Traffic Records Coordinating Committee.

Do you anticipate needing funding for multiple years to complete this project? – Select “Yes” if you anticipate needing funding for multiple years to complete the project. Please provide a projection of how much is expected to be spent in current and each future year(s) to allow a full understanding of the funding needs required.

Project will impact the following Traffic Records Information System(s) – Select which of the state’s six traffic records systems (Citation/Adjudication, Crash, Driver, EMS/Injury Surveillance system, Roadway, and Vehicle) the project will impact.

Project will impact the following performance area(s) – Select which of the six performance areas the project will impact.

Project will advance the following goal(s) for Florida’s Traffic Safety Information Systems – Select which of the state’s five goals of Florida’s TRCC as documented in the Florida Traffic Safety Information System Strategic Plan 2012–2016 the project will impact. The goals are:

Goal 1: Coordination - Provide ongoing coordination in support of multi-agency initiatives and projects which improve traffic records information systems.

Goal 2: Data Quality - Develop and maintain complete, accurate, uniform, and timely traffic records data.

Goal 3: Integration - Provide the ability to link traffic records data.

Goal 4: Accessibility - Facilitate access to traffic records data.

Goal 5: Utilization - Promote the use of traffic records data.

Goal Support – Explain how the project will help advance the goal(s) selected above

Concept Paper Budget

When preparing the proposed budget, care should be taken in estimating costs. Include tax, delivery, shipping, and set-up costs. Attempt to anticipate increases in costs that may occur between the time the subgrant is proposed and the subgrant start date. **Subgrant costs must be reasonable, allowable, and necessary and be directly related to the stated problem and proposed solution. Equipment purchases should be clearly defined in the purpose statement and solution, and describe a clear need for the equipment and how it will be used in the project.**

Personnel Services

Costs must include the position title, the monthly/yearly salary, and percentage applicable to the project. If benefits will be reimbursed, those should be listed. Do not list an individual's name. Use descriptive titles such as "Law Enforcement", "Public Information Officers", "Administrative Staff", "Dispatchers", etc.

Contractual Services

Costs may include work that will be performed by each consultant firm or person secured on contract to work on the project. Do not list a firm, agency, or individual's name. Use descriptive titles such as "Data Consulting" or "Evaluation Services."

Expenses

Costs may include direct expenditures, such as: bicycle helmets, child safety seats, public information and education materials, printing, travel, and portable breath test devices. Enter only items that are less than \$1000 per item. (**Exception:** software is always an expense item, even if it costs more than \$1,000.)

All public information and education materials shall contain a traffic safety message. Most public awareness or outreach documents, printed on paper and used to educate or inform the public about traffic safety issues, safety practices, or traffic safety programs are allowable. Examples include activity books, brochures, posters, flyers, envelope stuffers, etc.

Outreach items cannot be freely distributed to the public without any interaction on a subrecipient's part. Persons receiving outreach items should interact with the subrecipient in some manner related to the goal of the project, such as attend a presentation, sign a pledge sheet, fill out a survey form, answer a traffic safety question, etc.

When public awareness or outreach items are included in a subgrant activities, a plan outlining the purpose of the items is required to be included. The plan should include the following:

1. Activity
2. Target audience

3. Explanation of how the activity will help meet the objective of the project
4. Description of how the results of the activity will be used and reported

Operating Capital Outlay

This section is for equipment costing more than \$1,000 per item.

Costs may include items such as: speed monitoring trailers, light towers, laser units, computers, and child passenger inspection station trailers. Include a quantity for each piece of equipment. Items that exceed \$5,000 are considered “nonexpendable property”.

Indirect Costs

Costs that cannot be charged directly to a project. If a subrecipient has a federally negotiated indirect cost rate, it may be applied to the subgrant. If a subrecipient does not have a federally negotiated indirect cost rate, a rate up to the de minimis indirect cost rate of 10% of modified total direct costs may be applied. A subrecipient may opt to request a lower or no indirect costs rate, even if it has a federally negotiated indirect cost rate. Concept papers requesting indirect costs will be awarded based on cost benefit, available funding, and if the indirect cost rate requested significantly affects the proposed project’s ability to adequately address the traffic safety need. The FDOT State Safety Office has historically not awarded indirect costs for local projects, law enforcement agencies for enforcement activities, or rates over 10%.

Frequently Asked Questions

Q. Can I apply for more than one grant and/or a grant that covers more than one program area?

A. Yes. Agencies may submit multiple grant applications as well as applications that address more than one program area.

Q. When can I begin my subgrant project?

A. Once the FDOT State Safety Office has executed your subgrant application. The process between concept paper submittal and execution is:

1. Submit concept paper. If concept paper is approved the FDOT State Safety Office will inform you by email and mail.
2. After receiving approval of concept paper, develop a subgrant and submit to the FDOT State Safety Office for review.
3. Once reviewed and approved by FDOT State Safety Office, your agency will be sent a final version of the subgrant which will require three originals signature pages, along with the approved subgrant, to be mailed to the FDOT State Safety Office.
4. A legal review is conducted by FDOT and submitted to the Traffic Safety Administrator for execution.
5. Your agency will be emailed and mailed a copy of your FDOT signed subgrant agreement. Once your agency receives the emailed executed copy, you may begin implementation of your project.