



AUGUST 2018

SMART CITIES CHALLENGE FINALIST GUIDE

COMPETITION ONE



Infrastructure
Canada

Canada 



TABLE OF CONTENTS

1.0 Finalist phase1

1.1 Overview1

1.2 Smart cities approach.....1

2.0 Process and timeline.....2

2.1 Eligibility.....2

2.2 Prizes.....3

2.3 Timeline.....3

2.4 Selection of Winners4

2.5 Implementation phase.....4

3.0 Requirements.....5

3.1 Final proposal.....5

3.2 Finalist video.....6

3.3 Finalist pitch.....6

4.0 Support measures.....7

4.1 Finalist grant.....7

4.2 Challenge team contact.....7

4.3 Frequently asked questions.....7

4.4 Finalist Forum.....7

4.5 Webinars and other learning opportunities.....8

4.6 Progress updates.....9

4.7 Smart Cities Community Support Program (CSP).....9

5.0 Final Proposal.....10

5.1 Executive summary.....10

5.2 Chapter 1: Vision.....11

5.3 Chapter 2: Performance measurement.....12

5.4 Chapter 3: Project management.....13

5.5 Chapter 4: Technology14

5.6 Chapter 5: Governance.....15

5.7 Chapter 6: Engagement16

5.8 Chapter 7: Data and privacy.....17

5.9 Chapter 8: Financial.....18

5.10 Chapter 9: Implementation phase requirements.....19

5.11 Confidential Annex (optional).....21

Appendix 1: Diversity and Inclusion Considerations.....22

Appendix 2: Outcomes-Based Performance Measurement.....24

Appendix 3: Data and Privacy Considerations.....26

How to Proceed.....27

Privacy Brief.....28

Privacy Laws.....29

Appendix 4: Consolidated Requirements & Evaluation Criteria.....34

Appendix 5: Infrastructure Canada Web Accessibility Standards.....54

Tables and charts.....54

Images and graphics.....55

Videos and other rich media.....56



1.0 FINALIST PHASE

1.1 OVERVIEW

The Smart Cities Challenge (“Challenge”) is a competition open to all municipalities, local or regional governments, and Indigenous communities (First Nations, Inuit, and Métis) across Canada.

130 applicants from all 13 provinces and territories engaged residents about the most pressing issues they face in their communities and submitted impactful, ambitious, and transformative applications to the first competition of the Challenge.

You are one of the 20 finalists that the Jury recommended to the Minister of Infrastructure and Communities, and you will now move onto the development of your final proposal in the finalist phase of the competition. Your final proposal will focus on forecasted outcomes, technical merit, and readiness to implement. In other words, you are expected to demonstrate that your ideas are feasible and suited to achieving real results for residents and that you are able to implement these ideas. To help you do this, you have this Guide, a \$250,000 grant, and the support measures outlined in Section 4 (page 7).

Should you be selected as a winner, you will be awarded prize money to help implement your final proposal.

1.2 SMART CITIES APPROACH

A smart cities approach aims to achieve meaningful outcomes for residents by leveraging the fundamental benefits that data and connected technology have to offer. The approach should continue to be central to your final proposal and be underpinned by the following principles:

- **Openness:** When communities make their data truly accessible, usable, and barrier-free, their decision-making processes become transparent, empower residents, and strengthen the relationship between residents and public organizations.
- **Integration:** Data and connected technology empower communities to break down silos that exist within local governments and public organizations.
- **Transferability:** When tools and technological approaches are open-source, transparent, and standardized, they can be used by communities across the country, no matter their size or capacity.
- **Collaboration:** Connected technology enables communities to bring traditional and non-traditional partners to deliver common objectives.

2.0 PROCESS AND TIMELINE

2.1 ELIGIBILITY

The following finalists are eligible to participate in this phase of the competition:

\$5 million prize category

- Biigtigong Nishnaabeg (Pic River First Nation), Ontario
- Cree Nation of Eastmain, Quebec
- Town of Bridgewater, Nova Scotia
- Mohawk Council of Akwesasne, Quebec
- City of Yellowknife, Northwest Territories

\$10 million prize category

- Town of The Pas, Opaskwayak Cree Nation, Rural Municipality of Kelsey, Manitoba
- City of Côte Saint-Luc, Quebec
- Nunavut Communities, Nunavut
- Saint Mary's First Nation and City of Fredericton, New Brunswick
- Parkland, Brazeau, Lac Ste Anne, and Yellowhead Counties, Alberta
- City of Airdrie and Area, Alberta
- City of Richmond, British Columbia
- City of Guelph and Wellington County, Ontario
- City of Saskatoon, Saskatchewan
- Greater Victoria, British Columbia

\$50 million prize category

- Region of Waterloo, Ontario
- Québec City, Quebec
- City of Edmonton, Alberta
- City of Surrey and City of Vancouver, British Columbia
- Montréal, Quebec

To maintain their eligibility, finalists must also continue to:

- Participate in the Challenge and actively pursue the completion of the requirements as outlined in this Guide
- Maintain the essence of their Challenge Statement and outcomes
- Compete in the prize category identified in their application
- Use a smart cities approach

2.2 PRIZES

Four prizes are available:

- One prize of up to **\$50 million**
- Two prizes of up to **\$10 million each**
- One prize of up to **\$5 million**

Prize money will be awarded through contribution agreements* with Infrastructure Canada.

2.3 TIMELINE

The table below shows key dates and activities for the finalist phase.

Date	Activity
August-October 2018	Webinars (Section 4.5, page 8)
October 2018	Finalist Forum
Fall 2018-Winter 2019	Challenge team site visit
March 5, 2019	Final proposal and finalist video submission deadline
Spring 2019	Finalist pitch
Spring 2019	Winner announcement

More information on the activities are included in Requirements (Section 3, page 5) and Support Measures (Section 4, page 7).

* Pursuant to the laws applicable in Québec, a municipality that is selected for a grant or prize must, in accordance with its obligations set out in *An Act respecting the Ministère du Conseil exécutif*, obtain prior authorization from the government of Québec before signing any agreement relating to the development of a final proposal or for the implementation of a project.

2.4 SELECTION OF WINNERS

Final proposals will be reviewed by experts and then evaluated by the same independent Jury that selected the finalists. The evaluations will be based on the criteria in each chapter of Section 5 (page 10) below.

The Jury will recommend a slate of four winners to the Minister of Infrastructure and Communities.

Winners will be announced in Spring 2019.

2.5 IMPLEMENTATION PHASE

Once winners are selected, they will move onto the implementation phase. During this time, they will be required to maintain close contact with Infrastructure Canada.

Payments will be made as projects attain milestones that demonstrate progress towards outcomes. The winners will establish these outcomes with Infrastructure Canada based on their final proposals. These outcomes will form the foundation of winners' contribution agreements.

Depending on the nature and scope of the final proposal, implementation is expected to span between two and five years. Winners are expected to complete their projects no later than five years following the signature of the contribution agreement.

Winners will continually monitor their progress and will work with Infrastructure Canada to make course adjustments to their projects, as necessary.

Lessons learned from the entire Challenge process will be gathered from all winners and shared publicly.

3.0 REQUIREMENTS

There are three requirements:

- Final proposal
- Finalist video
- Finalist pitch

3.1 FINAL PROPOSAL

You are required to submit a final proposal that builds on your application to the Challenge. The final proposal is the main requirement of the finalist phase, and will be evaluated by the Jury.

The required chapters of the final proposal and the corresponding evaluation criteria are outlined in Section 5 (page 10) below.

You are required to submit your final proposal by email to infsc-vi.infsc@canada.ca no later than **23:59 PST on March 5, 2019.**

Infrastructure Canada will post all final proposals online.

The final proposal should be:

- A single, consolidated document (except for the Confidential Annex as outlined in Section 5.11 [page 21], Privacy Impact Assessment or Preliminary Rationale Analysis as outlined in Section 5.8 [page 17], or any required documents as outlined in Appendix 5 [page 54])
- As concise as possible; no longer than 75 pages in 12 point font (no page limit on the Financial chapter outlined in Section 5.9 [page 18])
- Text-based (i.e. written)
- In MS Word format (.doc or .docx) or in fully readable, searchable, and selectable PDF format (.pdf)
- Organized by distinct chapters as outlined in Section 5 (page 10)

Relevant visuals and rich media may be included in the final proposal to supplement the written content as long as they fit the Infrastructure Canada web accessibility standards (Appendix 5, page 54), are within the page limit, and are accompanied by clear linkages and references in the final proposal.

3.2 FINALIST VIDEO

You will be required to submit a video summarizing your final proposal, due at the same time as your final proposal submission. This video should capture the main elements of your final proposal and highlight the features that make it unique. It should be no longer than five minutes.

You will be required to post the video on your website following the submission of the final proposal. Infrastructure Canada will link to the video. The video file should also be submitted to INFC for use in promotional material.

This requirement will not be evaluated by the Jury.

3.3 FINALIST PITCH

Following the submission of your final proposal, you will be required to deliver a pitch to the Jury at an in-person event that will take place after your written final proposal has been submitted.

The pitch will allow you to present your final proposal and the Jury will have an opportunity to pose questions. The Jury will take into account the information you provide during the pitch in the evaluation of your final proposal.

You may structure the pitch as you wish. Guidance related to technical, operational, and logistical parameters will be provided to you closer to the date.

4.0 SUPPORT MEASURES

There are a series of measures in place to support you as you develop your final proposal:

- Finalist grant
- Challenge team contact
- Frequently asked questions
- Finalist forum
- Webinars and other learning opportunities
- Progress updates
- Smart Cities Community Support Program

4.1 FINALIST GRANT

The \$250,000 grant provided to you must be used for activities that relate directly to the development of your final proposal as outlined in the grant agreement. Its use must be transparently laid out and fully accounted for in the final proposal (Section 5.9, page 18).

4.2 CHALLENGE TEAM CONTACT

A member of the Challenge team is assigned to you. Your contact person is familiar with your application and knowledgeable about the requirements of the finalist phase and the Challenge more generally. You can reach out to them with your questions and they will keep you updated with timely information and guidance.

4.3 FREQUENTLY ASKED QUESTIONS

To ensure fairness and to provide consistent information and guidance, the questions from you and the other finalists and the answers from the Challenge team, void of specific details that relate to your final proposal, will be shared among finalists at least on a monthly basis.

4.4 FINALIST FORUM

A two-day, in-person event is planned for you in October 2018. The Finalist forum will be an opportunity to learn more about smart cities topics and the evaluated requirements of the finalist phase (Section 4.5, page 8). It will give you a chance to meet and network with other finalists and check in with the Jury before the final proposal deadline. More details on this event will be provided to you closer to the date.

4.5 WEBINARS AND OTHER LEARNING OPPORTUNITIES

Live and interactive webinars and other learning opportunities will provide you with information and guidance on the chapters of the final proposal and various smart cities topics. You will have the opportunity to ask questions and view recorded versions that will be posted online. You will also be guided through the communication protocol and engaged on communications opportunities. Participation is highly encouraged to ensure all finalists have key information for the development of the final proposal. The table below shows dates and topics of webinars and other learning opportunities that are currently planned.

Date	Topics
August 2018	<ul style="list-style-type: none">• Finalist Guide and final proposal requirements• Finalist forum details and requirements• Communications protocol• Implementation phase requirements: Duty to Consult with Indigenous groups, Modern Treaty Obligations, Community Employment Benefit, and Climate Lens Assessment
September 2018	<ul style="list-style-type: none">• Resident engagement• Diversity and inclusion
October 2018	<ul style="list-style-type: none">• Contracting and procurement• Outcomes-based performance measurement• Privacy, cybersecurity, and data management

4.6 PROGRESS UPDATES

Starting in August 2018, progress update sessions with your Challenge team contact are planned for you at least on a monthly basis to ensure that you are on track to complete the requirements of the finalist phase. During these conversations, you can raise questions, flag challenges and issues, and provide an update on the overall progress of your final proposal. Information shared during these conversations will be for internal use only and kept confidential.

In addition to these phone calls, a site visit is planned in Fall 2018-Winter 2019. This will be an opportunity to meet your Challenge team contact and provide an in-person progress update. Infrastructure Canada's communications activities that are linked to this site visit are outlined in the communications protocol. More details on this site visit will be provided to you closer to the date.

4.7 SMART CITIES COMMUNITY SUPPORT PROGRAM (CSP)

The Community Support Program (CSP), which runs in parallel with the Challenge, calls on not-for-profit organizations to work in the smart cities domain to provide advisory services to communities that are seeking additional help, support, and information. Organizations funded under this program will generate and share knowledge and build awareness of important and complex emerging issues, including data ownership, data management, privacy, and security. They will be announced by early Fall 2018, and there will be opportunities for you to benefit from their services and activities during the development of your final proposal.

5.0 FINAL PROPOSAL

Your application was focused on defining your Challenge Statement and outcomes. You also started to think about the solutions to achieve these outcomes. In your final proposal, you are asked to build on your application and set out concrete plans to achieve real results for your residents through a smart cities approach.

In project management terms, your final proposal is a series of plans that will enable implementation (or execution) and post-implementation (or monitoring, controlling, and closing).

Following an executive summary, there are nine chapters that are required for your final proposal:

1. Vision
2. Performance measurement
3. Project management
4. Technology
5. Governance
6. Engagement
7. Data and privacy
8. Financial
9. Implementation phase requirements

You may also submit an optional confidential annex (Section 5.11, page 21).

You are encouraged to consult the appendices to this Guide in the development of your final proposal.

5.1 EXECUTIVE SUMMARY

Provide an executive summary of your final proposal, including:

- Reiteration of the Challenge Statement
- Overview of the upcoming nine chapters

EVALUATION CRITERIA

- N/A

5.2 CHAPTER 1: VISION

Present your smart cities journey, including:

- How your final proposal carries through the vision laid out in your Challenge Statement and the outcomes in your application, and provides reasonable justification of any variations
- How your outcomes continue to be:
 - reflective of the true needs of the community, as demonstrated through a compelling body of data and evidence and extensive resident engagement
 - ambitious and achievable
 - meaningful for the community and its residents
 - well-suited to a smart cities approach
 - measurable
- Progress towards outcomes that may have been achieved during the finalist phase
- Reasons to be selected as a winner

EVALUATION CRITERIA

- ✓ Final proposal carries through the vision laid out in the application
- ✓ Final proposal is transformative, scalable, and replicable within the community and to other communities in Canada

5.3 CHAPTER 2: PERFORMANCE MEASUREMENT

Winners will receive their prize money through an outcomes-based contribution agreement with Infrastructure Canada. Payments will be triggered by the successful achievement of progress toward outcomes, tailored to the requirements of each winning project. In other words, payments will not be linked to the reimbursement of eligible costs. This chapter serves as the foundation of this outcomes-based contribution agreement.

Appendix 2 (page 24) provides a detailed guidance on outcomes-based performance measurement.

Provide an outcomes-based performance measurement plan for the implementation phase, including:

- Project activities and their links to outputs and outcomes
- Project timelines, deliverables, and milestones that are ambitious yet attainable
- Payment schedule with amounts that are reasonable and rational in the context of project timelines, deliverables, milestones, and prize category
- Qualitative and quantitative performance indicators and related data sources that are meaningful and can measure short, medium, and long-term progress towards outcomes
- Monitoring, reporting, and evaluation strategies and checkpoints for contingencies and course corrections, if necessary
- Identification of risks and development of appropriate mitigation strategies
- Other details, as required

EVALUATION CRITERIA

- ✓ Plan is detailed, complete, feasible, and well-suited to achieve the outcomes
- ✓ Plan forms a solid basis for development of outcomes-based contribution agreement
- ✓ Risk strategy is thorough and adequately addresses key risk

5.4 CHAPTER 3: PROJECT MANAGEMENT

Winners will likely have more than one project associated with their final proposal for each outcome, and multiple activities for each project. Many of these projects will have a technology component though some will not. This chapter serves as a step-by-step outline of your project management approach, and provides context for the other chapters that follow on technology, governance, engagement, data and privacy, and finances.

Provide a project management plan for the implementation phase, including:

- Project scope, scheduling, sequencing, and dependencies
- Resource assessment, including human, materiel, and financial (e.g. workforce capacity, infrastructure readiness, and related initiatives already underway) that are sufficient and appropriate to the achievement of outcomes
- Strategies for:
 - Risk identification and appropriate mitigation
 - Procurement, including alignment with technology and partnership requirements
 - Stakeholders, including analysis of impact and influence
 - Communications, including strategies that promote community involvement and transparency and tailor to diverse stakeholders and projects
- Monitoring, controlling, and reporting strategies and checkpoints for contingencies and course corrections, if necessary
- Approach to sustaining projects beyond the lifecycle of the Challenge, if appropriate
- Other details, as required

EVALUATION CRITERIA

- ✓ Plan is detailed, complete, feasible, and well-suited to achievement of outcomes
- ✓ Plan supports the implementation of projects
- ✓ Risk strategy is thorough and adequately addresses key risks

5.5 CHAPTER 4: TECHNOLOGY

Winners will likely have many projects with a technology component, as the use of connected technology is a core element of a smart cities approach. This chapter outlines the details needed to ensure the alignment of the approach to the achievement of outcomes, feasibility, interoperability, replicability, and scalability of these types of projects. On a related note, while undertaking projects that employ open technology solutions (i.e. non-proprietary, multi-vendor, open architecture) is advisable in order to facilitate replicability, there may be cases where they generate intellectual property. This chapter should demonstrate your commitment to pursuing options that allow you and other communities across Canada to benefit from your smart cities approach to the greatest extent possible.

Provide a technology plan for the implementation phase, including:

- Details about the technologies, including relevant applications elsewhere and results of testing and/or piloting in finalist phase
- Approach to future-proofing the technologies (i.e. safeguards against vendor-generated proprietary constraints and obsolescence, workforce that is able to implement and operate the technologies and systems going forward)
- How the technologies comply with relevant legislative and regulatory requirements
- Adoption or development of standards, architectures, certifications, initiatives, and guidelines, including how these will enable:
 - interoperability between the technologies, other technologies, existing community systems and services, and infrastructure
 - replicability and scalability
- Roles and responsibilities of technology partners
- Accessibility and usability of the technologies to diverse users, residents, and other stakeholders that support their uptake and acceptance
- Identification of risks (e.g. privacy issues, cybersecurity breaches) and development of appropriate mitigation strategies
- Other details, as required

EVALUATION CRITERIA

- ✓ Plan is detailed, complete, feasible, and well-suited to achievement of outcomes
- ✓ Plan supports the implementation of projects
- ✓ Risk strategy is thorough and adequately addresses key risks

5.6 CHAPTER 5: GOVERNANCE

Winners will see different levels of involvement from their community's leadership and organizations, project teams, partners, and other stakeholders throughout the implementation of their projects. This dynamic is very complex, especially with multiple projects and common governance challenges. Effectively managing this dynamic can help you understand where everyone is best placed in terms of authority, decision-making, and accountability in the context of implementing your projects. This chapter confirms the roles and responsibilities of your partners and stakeholders and serves as a model for governing a diverse—and potentially new and non-traditional—team.

Provide a governance plan for the implementation phase, including:

- Governance frameworks and strategies to oversee and manage projects, project risks, funds, and partners that are rigorous, transparent, effective, and provide value for money
- Details about the partners and their role, capacity, and readiness
- Evidence (i.e. letters, agreements, other forms of written understandings) and details about the partnerships, including their nature, terms, accountability structure, and financial arrangements
- Approach to partnerships that retains community control over sensitive and personal data
- Identification of risks and development of appropriate mitigation strategies
- Other details, as required

EVALUATION CRITERIA

- ✓ Plan is detailed, complete, feasible, and well-suited to achievement of outcomes
- ✓ Plan, including partnerships, supports the implementation of projects
- ✓ Risk strategy is thorough and adequately addresses key risks

5.7 CHAPTER 6: ENGAGEMENT

Winners will need to ensure that the primary beneficiaries of their projects—their residents—will continue to benefit from the outcomes and continually confirm that these remain the desired outcomes. Implementing change is difficult, and engaging residents and stakeholders is crucial in obtaining and maintaining their support. Your plans to sustain community engagement throughout implementation, as outlined in your application, should be your starting point. This chapter serves as a demonstration of your commitment to your residents and other stakeholders in maintaining the focus on their true needs and a preview of the engagement activities that they can expect to see during the implementation phase.

Appendix 1 (page 22) provides a detailed guidance on diversity and inclusion.

Provide an engagement plan for the implementation phase, including:

- Approach to engaging with, gaining acceptance from, and onboarding residents and other stakeholders for projects that ensures ongoing alignment between the outcomes and their concerns and needs
- Insights gained through previous engagement processes with residents that shaped the final proposal in a significant way
- Tools used in past, planned, and ongoing engagement activities that are adapted to target different population groups and encourage ongoing, high participation
- Efforts made to be inclusive and consider the diversity of residents, including the ways in which certain population groups could be positively/negatively and intentionally/unintentionally affected by projects
- Experienced or expected reactions from residents and other stakeholders and approaches for managing potential issues
- Identification of risks and development of appropriate mitigation strategies
- Other details, as required

EVALUATION CRITERIA

- Engagement to date and plans to engage residents and other stakeholders in the implementation phase are detailed, complete, inclusive, meaningful, and well-suited to achieve the outcomes
- Plan supports the implementation of projects
- Diversity and inclusion are reflected in project design, and facilitate the implementation of projects
- Risk strategy is thorough and adequately addresses key risks

5.8 CHAPTER 7: DATA AND PRIVACY

Winners will leverage data for projects that use connected technologies and in turn, harvest the data that they generate to, among other things, achieve efficiencies, inform decision-making, and improve the performance and application of the technologies themselves. Winners will also, to the extent possible, make data available publicly, build analytics in-house, and avoid being locked in with specific vendors in a way that hinders them and other communities from leveraging the data. At the same time, winners will need to secure highly sensitive data, defend against security breaches, and protect personal information and privacy. This chapter serves as a demonstration of your commitment to responsibly managing data through its lifecycle with security and privacy considerations addressed.

Appendix 3 (page 26) provides detailed guidance on data and privacy considerations.

Provide a data management plan for the implementation phase, including:

- Preliminary Privacy Impact Assessment (PIA) or Preliminary Rationale Analysis (PRA) with evidence that relevant privacy authorities were consulted and their guidance was considered in its development
- The ways in which the data management plan complies with *Personal Information Protection and Electronic Documents Act (PIPEDA)* and other relevant municipal, provincial/territorial, or federal privacy regimes
- Types and methods of data collection, generation, analysis, storage, and transmission, and plans for re-use, re-distribution, derivative production, archiving, and preservation that reflects the entire data lifecycle in project design
- Efforts made to integrate security and privacy considerations into project design, particularly those that were raised by users, residents, and other stakeholders
- Efforts made to adhere to the following principles:
 - Governance: strong governance frameworks and meaningful resident engagement throughout the lifecycle of projects
 - Ownership and control: avoidance of private-sector ownership and control of publicly-sourced data and community-owned and controlled data approaches
 - Consent: respect for meaningful consent in data collection, use, and disclosure
 - Data minimization and de-identification: pursuit of less privacy-invasive alternatives wherever possible and de-identification of all personal information at the earliest opportunity and mitigation of potential for re-identification
 - Accessibility: accessible, interoperable, and open data approaches to drive community-based solutions
 - Security: secure storage and transmission of data and assurance of effective cybersecurity

- Open and big data strategies, including the ways in which they facilitate transferability and replicability of technologies and projects
- Identification of risks and development of appropriate mitigation strategies
- Other details, as required

EVALUATION CRITERIA

- ✓ Plan is detailed, complete, high quality, and well-suited to achievement of outcomes
- ✓ Plan supports the implementation of projects
- ✓ Open and big data strategies are employed to the extent possible and facilitate transferability and replicability of technologies and projects
- ✓ Risk strategy is thorough and adequately addresses key risks

5.9 CHAPTER 8: FINANCIAL

In this chapter, you are asked to demonstrate how you plan on spending your prize money while following sound financial practices in estimating and managing funding, expenditures, and revenues for all of your projects. Winners will not be required to match funding—the Challenge provides up to 100% of project costs up to the total prize amount. However, winners are encouraged to leverage additional resources, where doing so increases the impact of projects.

Provide a financial plan for the implementation phase, including:

- Comprehensive project budget with a detailed breakdown of projected revenues, if any, and expenses by year, source, and cost type (including identification of hard and soft as well as direct and indirect costs) that is reasonable, sufficient, and in line with the performance measurement plan
- Methods, sources, and assumptions that result in class B (substantive) estimates at a minimum
- Contributions (financial or in-kind) from other sources, and approach to leverage revenues, if any, and the prize money that amplifies the impact and reach of projects
- Financial tools and accounting methodologies that are appropriate for projects
- Identification of risks and development of appropriate mitigation strategies
- Report on the use of the finalist grant, including reasonable justification of any divergences from the plan laid out in the application
- Other details, as required

EVALUATION CRITERIA

- ✓ Plan is detailed, complete, high quality, and well-suited to achievement of outcomes
- ✓ Plan supports the implementation of projects
- ✓ Report on the use of the finalist grant is detailed, complete, and demonstrates a rational and effective use for the development of the final proposal and sound management of project funding
- ✓ Risk strategy is thorough and adequately addresses key risks

5.10 CHAPTER 9: IMPLEMENTATION PHASE REQUIREMENTS

This chapter requires you to identify and provide the plans for meeting applicable municipal, provincial, and federal reporting and legislative and policy requirements, should you be selected as a winner.

These requirements are:

- **Duty to Consult with Indigenous groups:** The common law duty to consult is based on judicial interpretation of the obligations of the Crown (federal, provincial and territorial governments) in relation to potential or established Aboriginal or Treaty rights of the Indigenous peoples of Canada, recognized and affirmed in section 35 of the *Constitution Act, 1982*. In Canada, the duty to consult with and accommodate with Indigenous peoples arises when the Crown contemplates actions or decisions that may affect an Indigenous person's Aboriginal or Treaty rights. The Duty to Consult is a constitutional duty that invokes the Honour of the Crown and it must be met. The duty is triggered at a low threshold: all that is required is contemplated Crown conduct resulting in a potential adverse impact to a credible claim. In addition to fulfilling legal obligations to engage with modern treaty holders and self-governing Indigenous groups, finalists may also consult on the basis of the Duty to Consult or as a good governance practice.
- **Modern Treaty Obligations:** Modern Treaties (also called Land Claim Agreements) are a key component of Canadian nation-building. They advance the shared objective of reconciliation, promote strong and sustainable Indigenous communities, and advance national socio-economic objectives, to the benefit of all Canadians. Treaties are legally binding and constitutionally protected agreements that set out specific rights, benefits and obligations for the signatories. Treaty provisions will vary from treaty to treaty. Treaties and treaty rights also vary depending on the time and circumstances in which they were negotiated.
- **Community Employment Benefit (CEB):** The Investing in Canada plan (under which the Challenge is funded) encourages project planners and communities across the country to take advantage of their infrastructure projects to support the diversification of recruitment, training, and procurement practices. Identify your plan to target and report upon CEB requirements, should you become a winner. The CEB can also be linked to your diversity and inclusion considerations given that many of the targeted groups overlap. Winners will need to identify employment and/or procurement opportunities for at least three of the following groups: apprentices; Indigenous peoples; women; persons with disabilities; veterans; youth; recent immigrants; and small, medium, and social enterprises. *CEB guidance can be found [here](#).*

- **Climate Lens Assessment (CLA):** The CLA has been designed as a framework for assessment and reporting for any projects that either (1) deal directly with greenhouse gas mitigation or climate change adaptation, or (2) are funded by the program in the amount of \$10 million or above. The *Investing in Canada* plan (under which the Challenge is funded) encourages planners to consider the climate impacts of any project funded under the program. The *Climate Lens Assessment* (CLA) is intended to provide meaningful insight into the climate impacts of individual projects, and encourage improved choices by project planners consistent with shared federal, provincial, and territorial objectives articulated in the *Pan-Canadian Framework for Clean Growth and Climate Change*, including a commitment to reduce Canada's greenhouse gas (GHG) emissions by 30% below 2005 levels by 2030. [CLA guidance can be found here.](#)
- **Other applicable laws and regulations and policies,** including any cases of change or exemption to legislation and regulations that may apply to projects

EVALUATION CRITERIA

- ✓ Plans for meeting relevant municipal, provincial, and federal reporting and legislative requirements are provided and serve as sufficient groundwork for the implementation phase should the finalist be selected as a winner
- ✓ Risk strategy is thorough and adequately addresses key risks

5.11 CONFIDENTIAL ANNEX (OPTIONAL)

One of the goals of the Challenge is to encourage as much transparency as possible among applicants, potential applicants of future competitions, other communities, stakeholders, and with the general public. Therefore, final proposals will be posted online.

However, you may have confidential information (e.g. third party) that you would like to provide for evaluation. If and only if required, please submit it as a separate document from the written final proposal. This annex will not be posted online.

Confidential information in this annex should be supplemental to the information provided elsewhere in your final proposal. Please clearly indicate which chapters the information provided in this annex relates to; it will be evaluated against the relevant criteria.

APPENDIX 1: DIVERSITY AND INCLUSION

CONSIDERATIONS

The following approach is provided as an example and is not a mandatory template to follow.

These five steps can be used to design meaningful, fair, and impactful projects without unintentionally creating hurdles for certain sections, segments, or proportion of the population:

1. Have you identified a diversity and inclusion issue within the context of the proposed project?
 - a. Identify the context and the diversity and inclusion issues
 - Are there historical disparities related to the broader issue (e.g. industry is male-dominated)?
 - b. Challenge assumptions
 - Although the proposal you are working on may appear to affect everyone equally, always challenge your assumptions about whether it has diversity and inclusion implications
 - Whose point of view is reflected in defining the vision?
 - Who is affected by the proposal?
 - How are they affected?
 - Could certain groups be affected differently?
2. What data sources and/or evidence did you consider to support the above conclusion?
 - a. Research & consultation
 - The data you use should be gender-disaggregated and should include other intersecting identity factors, such as: Indigenous status, ethnicity, religion, age, and mental or physical disability
 - Consult stakeholders to seek out multiple viewpoints. Engage residents of various identities, and consult broad and inclusive sources. It takes a wide range of insights, perspectives and expertise to develop and implement new ideas.
3. What response to the diversity and inclusion issue is being suggested within the context of the proposed project? What is the anticipated impact?
 - a. The results of your research and consultation should inform the proposed project and recommendations at all stages of development and implementation
 - Using the data you have gathered, consider how the project proposed responds to the specific issues identified
 - Does the information suggest that the project potentially affects diverse groups of people in different ways? If so, how?
 - Does the project improve the situation for all citizens? Or does it create barriers for some groups of people?

4. How will you monitor the performance of the proposed project for emerging diversity and inclusion impacts throughout its implementation?
 - a. Make sure the evaluation identifies groups who are positively or negatively affected by the project. Highlight data gaps and address unintended outcomes for diverse groups.
 - Is the project operating in a manner that is effective and appropriate for different groups of people?
 - Is the project being adapted to account for unanticipated gender-specific differences?
5. Are you communicating and documenting the diversity and inclusion results?
 - a. Identify the target audiences, and tailor the messaging appropriately. Show how your proposed project supports diversity.
 - Do the identified target audiences reflect the diversity of people affected?
 - b. Remember to share or discuss the diversity and inclusion results within the community. This will demonstrate due diligence, foster buy-in with stakeholders, and identify areas for further action.

*A common tool used when undertaking these types of consideration is Gender-Based Analysis Plus (GBA+). Additional information on GBA+ is also available at the Status of Women Canada website (<http://www.swc-cfc.gc.ca/gba-acsc/index-en.html>).

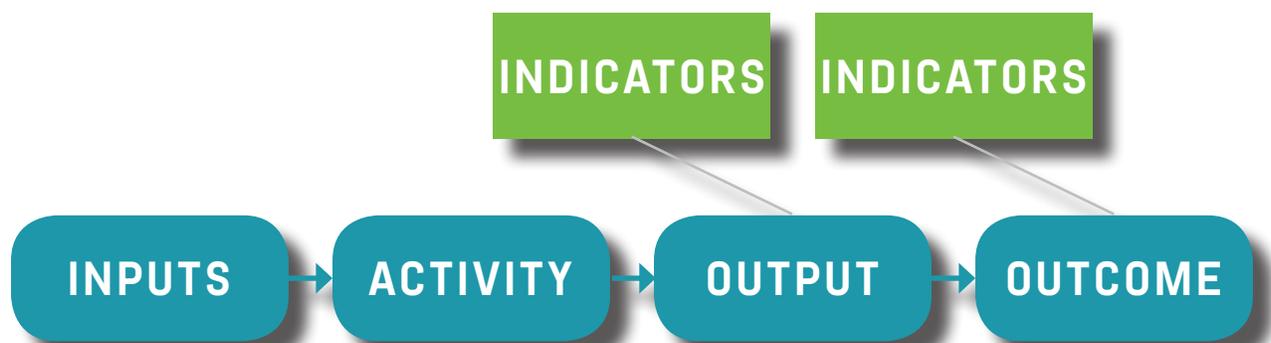
APPENDIX 2: OUTCOMES-BASED PERFORMANCE MEASUREMENT

The following approach to developing an outcomes-based performance measurement plan is provided for guidance only and should not be viewed as a mandatory template.

Measuring performance based on the achievement of outcomes can help at all stages of the project cycle from project identification and formulation through monitoring, evaluation, reporting and planning for the next cycle. It places value on:

- Resident and stakeholder participation—enriching project design and implementation through the inclusion of more perspectives
- Logical sequencing of inputs, activities, short term outputs, medium term outcomes and long term outcomes (also known as impacts)
- Consideration of external factors that may help or hinder a project's progress along this logic flow
- Identification of both quantitative and qualitative indicators/milestones and information gathering methods to help finalists track progress toward those results claimed in the planning process
- “Organizational learning” and “accountability”: generating knowledge and understanding to allow finalists to refine activities as the proposal works its way around the project cycle and, at the same time, demonstrate how funds are used
- Flexibility: fundamentally, that a plan or performance framework cannot be fixed in stone, but has to remain open to change as outside circumstances influence progress and as finalists and/or winners learn more about the results of their work. Emphasis is on longer term, results—outcomes and impacts, where we can expect important changes in the lives of people and communities.

A logic model is often the best way to define your project milestones and link them clearly to the outcomes you are aiming for. Below is an example of a logic model. In the logic model:



- 'Inputs' refers to your expertise, equipment, supplies and human resources
- 'Activities' are what you are doing with your inputs (procurement, development, training, etc.)
- 'Outputs' are your first and most immediate results, usually related directly to one activity; and
- 'Outcomes' flow from a collection of outputs and describe the unleashing of that potential. Outcomes usually take place at the resident, community or organization levels. You don't have full control over these changes because they are least one step removed from the activity and, with this kind of distance, outside influences can get in the way. Yet, it is very important to manage toward these outcomes because these represent the concrete changes you are trying to create through your work.

Indicators and Milestones

Indicators and milestones are the evidence, or proof, needed to show progress toward your outputs and outcomes. Indicators need to give accurate and reliable evidence that a given milestone has been reached. Indicators can be quantitative or qualitative.

Quantitative indicators are usually expressed as a percentage, ratio, proportion, comparison, or number that can be analyzed statistically. For example:

- Proportion of stakeholder organizations actively participating in smart cities activities
- Composition of network membership, by residents, private sector, stakeholder groups, academic institutions

Qualitative indicators are usually expressed as a change or comparison between two states of understanding or experience that can be analyzed for patterns. They usually rely on people's judgments or perceptions. For example:

- Before and after comparison in the content of 'x' policy
- Trends in the way business leaders perceive smart city investments
- A systemic change in "the way things are done" with tangible social, economic environmental benefits

Other sample logic models

There are many examples of outcomes-based logic models that can serve to inform your approach.

Below are a few illustrative examples:

- *W.K. Kellogg Foundation Logic Model Development Guide*
- *Ontario Public Health: Focus On: Logic model—A planning and evaluation tool*
- *Alberta Health Services: Logic Model*
- *Quality Improvement & Innovation Partnership: Logic Model Resource Guide*

APPENDIX 3: DATA AND PRIVACY

CONSIDERATIONS

PRIVACY CONSIDERATIONS

Smart cities approaches use real-time and actionable data to inform the operation of community-wide systems and services. Smart Cities Challenge final proposals need to demonstrate the inclusion of measures to protect personal information and privacy, and should respect the *fair information principles*. If your proposal is selected as a winner, your completed project will be subject to applicable privacy laws. To help you understand the legislative landscape, please consult the Privacy Brief section below for a summary of federal and provincial/territorial privacy laws.

WHAT IS PERSONAL INFORMATION?

Personal information is data about an “identifiable individual.” It is information that, on its own or combined with other pieces of data, can be used to identify a specific individual. In some circumstances, information that may appear to be non-identifiable may still qualify as personal information if there is a risk of re-identification. Personal information can include, but is not limited to:

- An individual's biographical details (name, sex, age, ethnic ancestry)
- An individual's biological details (face, fingerprints, blood type, etc.)
- Citizenship
- Religion
- Marital status
- Education
- Medical or criminal history
- Financial information
- Identifying numbers (ex. Social Insurance Numbers)
- An individual's contact details (personal address, phone number, etc.)
- Personal opinions and views
- Unique device identifiers
- Location information
- Patterns of behaviour (ex. Transit usage)

In some jurisdictions, personal health information is considered distinct from personal information and is subject to different or additional legislative protections. Generally speaking, personal health information is identifying information about an individual's physical or mental health.

While designing your project it is important to keep in mind that the information you or your partners collect may not identify an individual on its own, but should this information be combined and analyzed with information from different sources it may become identifiable personal information. To mitigate this risk, communities should seek to de-identify personal information at the earliest opportunity, and always pursue the least privacy-invasive options wherever possible.

If you are unsure if the information collected, used, or disclosed by your project is considered personal information or personal health information please consult with your relevant privacy authority using the contact information in the Privacy Brief section below.

HOW TO PROCEED

PRIVACY IMPACT ASSESSMENT OR PRELIMINARY RATIONALE ANALYSIS

If you determine that your project will involve the collection, use or disclosure of personal information or personal health information, you must complete a Preliminary Privacy Impact Assessment (PIA).

A Preliminary PIA will include considerations such as:

- Description of personal information or personal health information to be collected, used or disclosed (CUD)
- Information flow map that outlines each CUD of personal information or personal health information, with a corresponding legal authority for each flow
- Description of who you will collect personal information or personal health information from to enable the project with assessment of that person's authority to disclose the information;
- Information governance plan
- Organizational privacy management framework, including related organizational access, correction, privacy and security policies
- A plan that outlines the way in which you will consider privacy and security risks throughout the process including to complete a comprehensive PIA

Guidance on how to complete a PIA, including details on where they are legally required (as is the case in some jurisdictions) can be found in the Privacy Brief section below.

If the project will not involve personal information or personal health information, you do not need to proceed with the Preliminary PIA process. You are required, however, to document how you arrived at this conclusion and submit a copy of this rationale to the applicable privacy authority in your jurisdiction (referred to below as a 'Preliminary Rationale Analysis').

The federal and provincial/territorial privacy authorities have expressed their willingness to assist in the Smart Cities Challenge and are available to engage with communities and review Preliminary PIAs and Preliminary Rationale Analyses. You are required to engage with the privacy authority in your jurisdiction as you consider the privacy implications of your project. If you are unsure of who your privacy authority is please contact the Smart Cities Challenge at infc.sc-vi.infc@canada.ca for assistance.

PROPOSAL SUBMISSION

You are required to provide your relevant privacy authority with either the Preliminary Rationale Analysis or the Preliminary PIA at the time of proposal submission. The privacy authorities will then consider whether the proposal demonstrates that you have undertaken a reasonable due diligence exercise in evaluating the privacy and security risks and will share feedback with the Smart Cities Challenge team at Infrastructure Canada, if appropriate. The privacy authorities' feedback does not amount to an approval or recommendation that the proposal should be awarded funding.

Once the Preliminary PIA or Preliminary Rationale Analysis has been completed and submitted to Infrastructure Canada along with your final proposal, your proposal will be subject to an independent assessment by a panel of experts. These experts will make formal recommendations to the independent jury tasked with selecting Smart Cities Challenge winners.

WINNERS

In the event that your community is selected as a winner, you will be required to complete a Comprehensive PIA, which contains a more in-depth level of detail than that of the Preliminary PIA. The PIA must also be submitted to the respective privacy authority for review and comment. The Comprehensive PIA is considered to be an evergreen document; as your project's scope becomes better defined so too should this PIA. Please ensure it is regularly updated throughout project development and implementation. You are required to continue to engage with your privacy authority throughout this process.

PRIVACY BRIEF

There are several laws in Canada that relate to privacy rights. Enforcement of these laws is handled by various government organizations and agencies.

Several factors determine which laws apply and who oversees them. Among them:

- The nature of the organization handling the personal information
 - Is it a federal government institution?
 - Is it a provincial or territorial government institution?
 - Is it private sector?
 - Is it engaged in commercial activities?
 - Is it a federally regulated business?
- Where is the organization based?
- What type of information is involved?
- Does the information cross provincial or national borders?

For more information, visit [Summary of Privacy Laws in Canada by the Office of the Privacy Commissioner of Canada](#).

PRIVACY LAWS

For your convenience, the following section contains a list of privacy laws and contacts that you can consult in determining the privacy considerations and impact of your proposed project.

FEDERAL PRIVACY LAWS

Oversight authority: Office of the Privacy Commissioner of Canada (T: 819-994-5444)

- Canada's federal privacy laws are the *Privacy Act* and the *Personal Information Protection and Electronic Documents Act* (PIPEDA)
- The *Privacy Act* applies to federal government institutions. It applies to all of the personal information that the federal government collects, uses, and discloses
- PIPEDA applies to private sector organizations in all provinces and territories other than Quebec, Alberta and British Columbia, where there are substantially similar provincial private sector privacy laws

Guidance

- *Privacy toolkit for Business*
- Getting Accountability Right with a Privacy Management Program (joint with the Office of the Information and Privacy Commissioner of Alberta and the Office of the Information and Privacy Commissioner for British Columbia) *Getting Accountability Right with a Privacy Management Program*

PROVINCIAL AND TERRITORIAL PRIVACY LAWS

ALBERTA

Oversight Authority: Information and Privacy Commissioner of Alberta (T: 780-422-6860)

- *Freedom of Information and Protection of Privacy Act*, Alberta's public sector privacy laws, which applies to provincial government institutions and other institutions including municipalities
- *Personal Information Protection Act*, private sector privacy law
- *Health Information Act*, privacy law relating to health records. Section 64 requires that custodians submit a PIA to the OIPC for review before implementing a new practice or system relating to the collection, use or disclosure of individually identifying health information, or before changing existing practices or systems

Guidance:

- *Privacy Impact Assessments**

* This guidance was written for the health sector given the mandatory PIA requirement, however it is also useful to inform privacy risk assessment by government and private sector organizations

BRITISH COLUMBIA

Oversight Authority: Information and Privacy Commissioner for British Columbia
(T: 250-387-5629)

- *Freedom of Information and Protection of Privacy Act*, B.C.'s public sector privacy law, which applies to provincial government institutions and other institutions including municipalities. Section 69 requires that Ministries must submit a PIA to the Minister responsible for the act for review and comment during the development of any proposed program or activity. The Minister must provide PIAs relating to a common or integrated program or activity or data-linking initiative to the IPC for review and comment
- *Personal Information Protection Act*, BC's private sector privacy law;
- *E-Health (Personal Health Information Access and Protection of Privacy) Act*, BC's privacy law relating to health records
- *Privacy Impact Assessment Directions*, Section 69(5.3) states that the head of public bodies that are not ministries must conduct a privacy impact assessment in accordance with the directions of the minister

MANITOBA

Oversight Authority: Office of the Ombudsman, Access and Privacy Division (T: 204-982-9130)

- *Freedom of Information and Protection of Privacy Act*, Manitoba's public sector privacy law, which applies to provincial government institutions and other institutions including municipalities
- *Personal Health Information Act*, Manitoba's privacy law relating to health records

Guidance: Privacy Impact Assessment

NEW BRUNSWICK

Oversight Authority: Office of the Integrity Commissioner of New Brunswick (T: 506-453-5965)

Right to Information and Protection of Privacy Act, New Brunswick's public sector privacy law, which applies to provincial government institutions and other institutions including municipalities

Personal Health Information Privacy and Access Act, New Brunswick's privacy law relating to health records. Section 56 requires a custodian who is a public body or prescribed by regulation to conduct a PIA in certain situations.

NEWFOUNDLAND AND LABRADOR

Oversight Authority: Office of the Information and Privacy Commissioner/Newfoundland and Labrador (T: 709-729-6309)

- Access to Information and Protection of Privacy Act, Newfoundland and Labrador's public sector privacy law, which applies to provincial government institutions and other institutions including municipalities. Section 72 requires that for all new programs, ministers are required to submit to the minister responsible for the act a PIA for the Minister's review and comment, or the results of a preliminary assessment showing that a PIA is not required. The Minister must provide PIAs relating to a common or integrated program or activity to the IPC for review and comment.
- Personal Health Information Act and Pharmacy Network Regulations, Newfoundland and Labrador's privacy laws relating to health records

Guidance: Privacy Impact Assessments

NORTHWEST TERRITORIES

Oversight Authority: Information and Privacy Commissioner of the Northwest Territories (T: 1-867-669-0976)

- Access to Information and Protection of Privacy Act, the Northwest Territories' public sector privacy law, which applies to territorial government institutions and other designated institutions, but does not cover municipalities.
- Health Information Act, the Northwest Territories' privacy law relating to health records

NOVA SCOTIA

Oversight Authority: Information and Privacy Commissioner of Nova Scotia (T: 902-424-4684)

- Freedom of Information and Protection of Privacy Act and the Privacy Review Officer Act, Nova Scotia's public sector privacy laws, which cover provincial government institutions and other designated institutions. Municipalities are covered under Part XX of the Municipal Government Act.
- Personal Information International Disclosure Protection Act, a provincial public sector privacy law that provides additional protection for personal information held by public bodies ensuring that the information remains in Canada, unless certain circumstances exist. This law covers municipalities.
- Personal Health Information Act, Nova Scotia's privacy law relating to health records

Guidance: Privacy Impact Assessment Municipal Government Act

NUNAVUT

Oversight Authority: Information and Privacy Commissioner of Nunavut (T: 1-867-669-0976)

- Access to Information and Protection of Privacy Act, Nunavut's public sector privacy law, applies to territorial government bodies and other institutions, but does not cover municipalities

ONTARIO

Oversight Authority: Information and Privacy Commissioner of Ontario (T: 416-326-3333)

- Freedom of Information and Protection of Privacy Act, Ontario's provincial public sector privacy law, applies provincial government institutions and other institutions.
- Municipal Freedom of Information and Protection of Privacy Act, Ontario's municipal public sector privacy law.
- Personal Health Information Protection Act, 2004, Ontario's privacy law relating to health records

Guidance:

- Planning for Success: Privacy Impact Assessment Guide
- Open Government
- De-identification Guidelines for Structured Data

PRINCE EDWARD ISLAND

Oversight Authority: Information and Privacy Commissioner of P.E.I. (T: 902-368-4099)

- Freedom of Information and Protection of Privacy Act, P.E.I.'s public sector privacy law, applies to provincial government bodies and other institutions, but does not apply to municipalities

QUÉBEC

Oversight Authority: Commission d'accès à l'information du Québec (T: 418 528-7741)

- Act Respecting Access to Documents Held by Public Bodies and the Protection of Personal Information, Québec's public sector privacy law, which applies to provincial government bodies and other institutions, including municipalities
- Act Respecting the Protection of Personal Information in the Private Sector, Québec's private sector privacy law
- An Act to amend the Act respecting health services and social services, the Health Insurance Act and the Act respecting the Régie de l'assurance maladie du Québec, Québec's privacy laws relating to health records
- Act to establish a legal framework for information technology Quebec law with specific provisions for biometric data (articles 44 & 45)

Guidance: Privacy Impact Assessment

SASKATCHEWAN

Oversight Authority: Information and Privacy Commissioner of Saskatchewan (T: 306-787-8350)

- Freedom of Information and Protection of Privacy Act (PDF), Saskatchewan's provincial public sector privacy law
- Local Authority Freedom of Information and Protection of Privacy Act (PDF), Saskatchewan's municipal public sector privacy law
- Health Information Protection Act (PDF), Saskatchewan's privacy law relating to health records

Guidance:

- About IPC
- Privacy Impact Assessment
- Consultation Request Form

YUKON

Oversight Authority: Yukon Information and Privacy Commissioner (T: 867-667-8468)

- Access to Information and Protection of Privacy Act, Yukon's public sector privacy law, which applies to territorial government bodies and other designated institutions, but does not apply to municipalities
- Health Information Privacy and Management Act, Yukon's privacy law relating to health records

Guidance: Privacy Impact Assessment

APPENDIX 4: CONSOLIDATED REQUIREMENTS & EVALUATION CRITERIA

EXECUTIVE SUMMARY

REQUIREMENTS

Provide an executive summary of your final proposal, including:

- Reiteration of the Challenge Statement
- Overview of the upcoming nine chapters

EVALUATION CRITERIA

N/A

RUBRIC

N/A

CHAPTER 1: VISION

✓ **15 POINTS TOTAL**

REQUIREMENTS

Present your smart cities journey, including:

- How your final proposal carries through the vision laid out in your Challenge Statement and the outcomes in your application, and provides reasonable justification of any variations
- How your outcomes continue to be:
 - reflective of the true needs of the community, as demonstrated through a compelling body of data and evidence and extensive resident engagement
 - ambitious and achievable
 - meaningful for the community and its residents
 - well-suited to a smart cities approach
 - measurable
- Progress towards outcomes that may have been achieved during the finalist phase
- Reasons to be selected as a winner

EVALUATION CRITERIA

Final proposal is driven by the Challenge Statement and carries through the vision laid out in the application:

✓ **5 POINTS**

RUBRIC	
5	Exemplary demonstration with no weaknesses
4	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
3	Reasonably good demonstration on most aspects with some weaknesses that need addressing
2	Some good aspects, some questionable/weak demonstrations that need to be addressed
1	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Final proposal is transformative, scalable, and replicable within the community and to other communities in Canada:

✓ **10 POINTS**

RUBRIC	
10	Exemplary demonstration with no weaknesses
8	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
6	Reasonably good demonstration on most aspects with some weaknesses that need addressing
4	Some good aspects, some questionable/weak demonstrations that need to be addressed
2	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

CHAPTER 2: PERFORMANCE MEASUREMENT

✓ **25 POINTS TOTAL**

REQUIREMENTS

Provide an outcomes-based performance measurement plan for the implementation phase, including:

- Project activities and their links to outputs and outcomes
- Project timelines, deliverables, and milestones that are ambitious yet attainable
- Payment schedule with amounts that are reasonable and rational in the context of project timelines, deliverables, milestones, and prize category
- Qualitative and quantitative performance indicators and related data sources that are meaningful and can measure short, medium, and long-term progress towards outcomes
- Monitoring, reporting, and evaluation strategies and checkpoints for contingencies and course corrections, if necessary
- Identification of risks and development of appropriate mitigation strategies
- Other details, as required

EVALUATION CRITERIA

Plan is detailed, complete, feasible, and well-suited to achieve the outcomes

✓ **10 POINTS**

RUBRIC	
10	Exemplary demonstration with no weaknesses
8	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
6	Reasonably good demonstration on most aspects with some weaknesses that need addressing
4	Some good aspects, some questionable/weak demonstrations that need to be addressed
2	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Plan forms a solid basis for development of outcomes-based contribution agreement

✓ **10 POINTS**

RUBRIC	
10	Exemplary demonstration with no weaknesses
8	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
6	Reasonably good demonstration on most aspects with some weaknesses that need addressing
4	Some good aspects, some questionable/weak demonstrations that need to be addressed
2	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Risk strategy is thorough and adequately addresses key risks

✓ **5 POINTS**

RUBRIC	
5	Exemplary demonstration with no weaknesses
4	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
3	Reasonably good demonstration on most aspects with some weaknesses that need addressing
2	Some good aspects, some questionable/weak demonstrations that need to be addressed
1	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

CHAPTER 3: PROJECT MANAGEMENT

✓ **25 POINTS TOTAL**

REQUIREMENTS

Provide a project management plan for the implementation phase, including:

- Project scope, scheduling, sequencing, and dependencies
- Resource assessment, including human, materiel, and financial (e.g. workforce capacity, infrastructure readiness, and related initiatives already underway) that are sufficient and appropriate to the achievement of outcomes
- Strategies for:
 - Risk identification and appropriate mitigation
 - Procurement, including alignment with technology and partnership requirements
 - Stakeholders, including analysis of impact and influence
 - Communications, including strategies that promote community involvement and transparency and tailor to diverse stakeholders and projects
- Monitoring, controlling, and reporting strategies and checkpoints for contingencies and course corrections, if necessary
- Approach to sustaining projects beyond the lifecycle of the Challenge, if appropriate
- Other details, as required

EVALUATION CRITERIA

Plan is detailed, complete, feasible, and well-suited to achievement of outcomes

✓ **10 POINTS TOTAL**

RUBRIC	
10	Exemplary demonstration with no weaknesses
8	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
6	Reasonably good demonstration on most aspects with some weaknesses that need addressing
4	Some good aspects, some questionable/weak demonstrations that need to be addressed
2	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Plan supports the implementation of projects

✓ **10 POINTS**

RUBRIC	
10	Exemplary demonstration with no weaknesses
8	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
6	Reasonably good demonstration on most aspects with some weaknesses that need addressing
4	Some good aspects, some questionable/weak demonstrations that need to be addressed
2	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Risk strategy is thorough and adequately addresses key risks

✓ **5 POINTS**

RUBRIC	
5	Exemplary demonstration with no weaknesses
4	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
3	Reasonably good demonstration on most aspects with some weaknesses that need addressing
2	Some good aspects, some questionable/weak demonstrations that need to be addressed
1	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

CHAPTER 4: TECHNOLOGY

✓ 25 POINTS TOTAL

REQUIREMENTS

Provide a technology plan for the implementation phase, including:

- Details about the technologies, including relevant applications elsewhere and results of testing and/or piloting in finalist phase
- Approach to future-proofing the technologies (i.e. safeguards against vendor-generated proprietary constraints and obsolescence, workforce that is able to implement and operate the technologies and systems going forward)
- How the technologies comply with relevant legislative and regulatory requirements
- Adoption or development of standards, architectures, certifications, initiatives, and guidelines, including how these will enable:
 - interoperability between the technologies, other technologies, existing community systems and services, and infrastructure
 - replicability and scalability
- Roles and responsibilities of technology partners
- Accessibility and usability of the technologies to diverse users, residents, and other stakeholders that support their uptake and acceptance
- Identification of risks (e.g. privacy issues, cybersecurity breaches) and development of appropriate mitigation strategies
- Other details, as required

EVALUATION CRITERIA**Plan is detailed, complete, feasible, and well-suited to achievement of outcomes**✓ **10 POINTS**

RUBRIC	
10	Exemplary demonstration with no weaknesses
8	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
6	Reasonably good demonstration on most aspects with some weaknesses that need addressing
4	Some good aspects, some questionable/weak demonstrations that need to be addressed
2	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Plan supports the implementation of projects✓ **10 POINTS**

RUBRIC	
10	Exemplary demonstration with no weaknesses
8	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
6	Reasonably good demonstration on most aspects with some weaknesses that need addressing
4	Some good aspects, some questionable/weak demonstrations that need to be addressed
2	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Risk strategy is thorough and adequately addresses key risks

✓ 5 POINTS

RUBRIC	
5	Exemplary demonstration with no weaknesses
4	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
3	Reasonably good demonstration on most aspects with some weaknesses that need addressing
2	Some good aspects, some questionable/weak demonstrations that need to be addressed
1	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

CHAPTER 5: GOVERNANCE

✓ 20 POINTS TOTAL

REQUIREMENTS

Provide a governance plan for the implementation phase, including:

- Governance frameworks and strategies to oversee and manage projects, project risks, funds, and partners that are rigorous, transparent, effective, and provide value for money
- Details about the partners and their role, capacity, and readiness
- Evidence (i.e. letters, agreements, other forms of written understandings) and details about the partnerships, including their nature, terms, accountability structure, and financial arrangements
- Approach to partnerships that retains community control over sensitive and personal data
- Identification of risks and development of appropriate mitigation strategies
- Other details, as required

EVALUATION CRITERIA

Plan is detailed, complete, feasible, and well-suited to achievement of outcomes

✓ **10 POINTS**

RUBRIC	
10	Exemplary demonstration with no weaknesses
8	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
6	Reasonably good demonstration on most aspects with some weaknesses that need addressing
4	Some good aspects, some questionable/weak demonstrations that need to be addressed
2	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Plan, including partnerships, supports the implementation of projects

✓ **5 POINTS**

RUBRIC	
5	Exemplary demonstration with no weaknesses
4	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
3	Reasonably good demonstration on most aspects with some weaknesses that need addressing
2	Some good aspects, some questionable/weak demonstrations that need to be addressed
1	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Risk strategy is thorough and adequately addresses key risks

✓ 5 POINTS

RUBRIC	
5	Exemplary demonstration with no weaknesses
4	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
3	Reasonably good demonstration on most aspects with some weaknesses that need addressing
2	Some good aspects, some questionable/weak demonstrations that need to be addressed
1	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

CHAPTER 6: ENGAGEMENT

✓ 30 POINTS TOTAL

REQUIREMENTS

- Provide an engagement plan for the implementation phase, including:
- Approach to engaging with, gaining acceptance from, and onboarding residents and other stakeholders for projects that ensures ongoing alignment between the outcomes and their concerns and needs
- Insights gained through previous engagement processes with residents that shaped the final proposal in a significant way
- Tools used in past, planned, and ongoing engagement activities that are adapted to target different population groups and encourage ongoing, high participation
- Efforts made to be inclusive and consider the diversity of residents, including the ways in which certain population groups could be positively/negatively and intentionally/unintentionally affected by projects
- Experienced or expected reactions from residents and other stakeholders and approaches for managing potential issues
- Identification of risks and development of appropriate mitigation strategies
- Other details, as required

EVALUATION CRITERIA

Engagement to date and plans to engage residents and other stakeholders in the implementation phase are detailed, complete, inclusive, meaningful, and well-suited to achieve the outcomes

✓ **10 POINTS**

RUBRIC	
10	Exemplary demonstration with no weaknesses
8	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
6	Reasonably good demonstration on most aspects with some weaknesses that need addressing
4	Some good aspects, some questionable/weak demonstrations that need to be addressed
2	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Plan supports the implementation of projects

✓ **5 POINTS**

RUBRIC	
5	Exemplary demonstration with no weaknesses
4	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
3	Reasonably good demonstration on most aspects with some weaknesses that need addressing
2	Some good aspects, some questionable/weak demonstrations that need to be addressed
1	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Diversity and inclusion are reflected in project design, and facilitate the implementation of projects

✓ **10 POINTS**

RUBRIC	
10	Exemplary demonstration with no weaknesses
8	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
6	Reasonably good demonstration on most aspects with some weaknesses that need addressing
4	Some good aspects, some questionable/weak demonstrations that need to be addressed
2	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Risk strategy is thorough and adequately addresses key risks

✓ **5 POINTS**

RUBRIC	
5	Exemplary demonstration with no weaknesses
4	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
3	Reasonably good demonstration on most aspects with some weaknesses that need addressing
2	Some good aspects, some questionable/weak demonstrations that need to be addressed
1	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

CHAPTER 7: DATA AND PRIVACY

✓ 25 POINTS TOTAL

REQUIREMENTS

Provide a data management plan for the implementation phase, including:

- Preliminary Privacy Impact Assessment (PIA) or Preliminary Rationale Analysis (PRA) with evidence that relevant privacy authorities were consulted and their guidance was considered in its development
- The ways in which the data management plan complies with Personal Information Protection and Electronic Documents Act (PIPEDA) and other relevant municipal, provincial/territorial, or federal privacy regimes
- Types and methods of data collection, generation, analysis, storage, and transmission, and plans for re-use, re-distribution, derivative production, archiving, and preservation that reflects the entire data lifecycle in project design
- Efforts made to integrate security and privacy considerations into project design, particularly those that were raised by users, residents, and other stakeholders
- Efforts made to adhere to the following principles:
 - Governance: strong governance frameworks and meaningful resident engagement throughout the lifecycle of projects
 - Ownership and control: avoidance of private-sector ownership and control of publicly-sourced data and community-owned and controlled data approaches
 - Consent: respect for meaningful consent in data collection, use, and disclosure
 - Data minimization and de-identification: pursuit of less privacy-invasive alternatives wherever possible and de-identification of all personal information at the earliest opportunity and mitigation of potential for re-identification
 - Accessibility: accessible, interoperable, and open data approaches to drive community-based solutions
 - Security: secure storage and transmission of data and assurance of effective cybersecurity
- Open and big data strategies, including the ways in which they facilitate transferability and replicability of technologies and projects
- Identification of risks and development of appropriate mitigation strategies
- Other details, as required

EVALUATION CRITERIA

Plan is detailed, complete, high quality, and well-suited to achievement of outcomes

✓ **10 POINTS**

RUBRIC	
10	Exemplary demonstration with no weaknesses
8	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
6	Reasonably good demonstration on most aspects with some weaknesses that need addressing
4	Some good aspects, some questionable/weak demonstrations that need to be addressed
2	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Plan supports the implementation of projects

✓ **5 POINTS**

RUBRIC	
5	Exemplary demonstration with no weaknesses
4	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
3	Reasonably good demonstration on most aspects with some weaknesses that need addressing
2	Some good aspects, some questionable/weak demonstrations that need to be addressed
1	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Open and big data strategies are employed to the extent possible and facilitate transferability and replicability of technologies and projects

✓ **5 POINTS**

RUBRIC	
5	Exemplary demonstration with no weaknesses
4	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
3	Reasonably good demonstration on most aspects with some weaknesses that need addressing
2	Some good aspects, some questionable/weak demonstrations that need to be addressed
1	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Risk strategy is thorough and adequately addresses key risks

✓ **5 POINTS**

RUBRIC	
5	Exemplary demonstration with no weaknesses
4	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
3	Reasonably good demonstration on most aspects with some weaknesses that need addressing
2	Some good aspects, some questionable/weak demonstrations that need to be addressed
1	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration



CHAPTER 8: FINANCIAL

✓ 25 POINTS

REQUIREMENTS

Provide a financial plan for the implementation phase, including:

- Comprehensive project budget with a detailed breakdown of projected revenues, if any, and expenses by year, source, and cost type (including identification of hard and soft as well as direct and indirect costs) that is reasonable, sufficient, and in line with the performance measurement plan
- Methods, sources, and assumptions that result in class B (substantive) estimates of revenues, if any, and expenses at a minimum
- Contributions (financial or in-kind) from other sources, and approach to leverage revenues, if any, and the prize money that amplifies the impact and reach of projects
- Financial tools and accounting methodologies that are appropriate for projects
- Identification of risks and development of appropriate mitigation strategies
- Report on the use of the finalist grant, including reasonable justification of any divergences from the plan laid out in the application
- Other details, as required

EVALUATION CRITERIA

Plan is detailed, complete, high quality, and well-suited to achievement of outcomes

✓ 10 POINTS

RUBRIC	
10	Exemplary demonstration with no weaknesses
8	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
6	Reasonably good demonstration on most aspects with some weaknesses that need addressing
4	Some good aspects, some questionable/weak demonstrations that need to be addressed
2	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Plan supports the implementation of projects

✓ **5 POINTS**

RUBRIC	
5	Exemplary demonstration with no weaknesses
4	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
3	Reasonably good demonstration on most aspects with some weaknesses that need addressing
2	Some good aspects, some questionable/weak demonstrations that need to be addressed
1	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Report on the use of the finalist grant is detailed, complete, and demonstrates a rational and effective use for the development of the final proposal and sound management of project funding

✓ **5 POINTS**

RUBRIC	
5	Exemplary demonstration with no weaknesses
4	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
3	Reasonably good demonstration on most aspects with some weaknesses that need addressing
2	Some good aspects, some questionable/weak demonstrations that need to be addressed
1	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Risk strategy is thorough and adequately addresses key risks

✓ 5 POINTS

RUBRIC	
5	Exemplary demonstration with no weaknesses
4	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
3	Reasonably good demonstration on most aspects with some weaknesses that need addressing
2	Some good aspects, some questionable/weak demonstrations that need to be addressed
1	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

CHAPTER 9: IMPLEMENTATION PHASE REQUIREMENTS

✓ 10 POINTS TOTAL

REQUIREMENTS

This chapter requires you to identify and provide the plans for meeting applicable municipal, provincial, and federal reporting and legislative and policy requirements should you be selected as a winner.

These requirements are:

- Duty to consult with Indigenous groups
- Modern Treaty obligations
- Community Employment Benefit (CEB)
- Climate Lens Assessment (CLA)
- Other applicable laws and regulations and policies, including any cases of change or exemption to legislation and regulations that may apply to projects

EVALUATION CRITERIA

Plans for meeting relevant municipal, provincial, and federal reporting and legislative requirements are provided and serve as sufficient groundwork for the implementation phase should the finalist be selected as a winner

✓ **5 POINTS**

RUBRIC	
5	Exemplary demonstration with no weaknesses
4	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
3	Reasonably good demonstration on most aspects with some weaknesses that need addressing
2	Some good aspects, some questionable/weak demonstrations that need to be addressed
1	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration

Risk strategy is thorough and adequately addresses key risks

✓ **5 POINTS**

RUBRIC	
5	Exemplary demonstration with no weaknesses
4	Very good demonstration on virtually all aspects, some weaknesses of modest consequence
3	Reasonably good demonstration on most aspects with some weaknesses that need addressing
2	Some good aspects, some questionable/weak demonstrations that need to be addressed
1	Several serious weaknesses on crucial aspects and some unsatisfactory demonstrations
0	No demonstration



APPENDIX 5: INFRASTRUCTURE CANADA WEB

ACCESSIBILITY STANDARDS

If you are including any non-text content in your final proposal, please ensure that they fit the following standards in order to facilitate online posting.

TABLES AND CHARTS

Make sure that:

- tables and charts are inserted, linked, or hyperlinked in the written final proposal
- value of each cell relates to the column and row headers
- value of each cell aligns with the column header that appears directly above it
- entries in a column do not contain information that could be considered a subhead
- titles are clear and describe the information

It can be difficult to make tables and charts accessible and easy to read for people using screen readers or mobile devices. To make information useful to the widest possible audience, consider turning complex tables or charts into one or more simpler ones or converting them to a list if the data is simple.

PROVIDE LONG TEXT DESCRIPTIONS

All tables and charts should be accompanied by long text descriptions, which should be submitted separately from the final proposal at the time of submission.

Write the long text description with these tips in mind:

- illustrate information or data to help people understand it
- explain complex concepts
- illustrate concrete things (such as a valid passport, species at risk, standard symbols)
- convey branding (such as approved logos and campaign graphics)

IMAGES AND GRAPHICS

Make sure that:

- images and graphics are inserted, linked, or hyperlinked in the written final proposal
- images and graphics are in high resolution (no loss of image details when enlarged to 500px, have a minimum of 300 dpi [dots per inch])
- text in visuals has an equivalent in the other official language
- decorative images are only used to provide visual context and do not contain meaningful text such as campaign or program titles

INCLUDE ALTERNATIVE TEXT OR PROVIDE LONG TEXT DESCRIPTIONS

All images and graphics should be accompanied by an alternative text, which should be inserted directly in the written final proposal before or after the image or graphic, if you can describe them in less than 140 characters. Otherwise, they should be accompanied by long text descriptions, which should be submitted separately from the final proposal at the time of submission.

Alternative text

Alternative text makes it possible for people using assistive technologies to access the information conveyed by images or graphics. It also helps search engines better understand the purpose of the image or graphic.

Write the alternative text with these tips in mind:

- describe the image or graphic as if you were describing it to someone over the phone
- use as few words as possible
- limit the text to around 140 characters (including spaces)
- use the text that is embedded in the image or graphic only if it provides enough context; otherwise, write different text that includes more information
- use the null indicator as the alternative text (`alt=""`) if the image does not provide any more information than what is already provided in the text on the page or if the image is decorative
- do not use "image of..." or "graphic of..." to describe the image or graphic; screen readers do this already

Long text descriptions

If a detailed and equivalent explanation of the image appears in the text immediately before or after a complex image, you do not have to provide a long text description. If you provide a long text description, you must also provide alternative text for the long text description.

VIDEOS AND OTHER RICH MEDIA

Make sure that videos and other rich media are inserted, linked, or hyperlinked in the written final proposal.

Provide transcripts

All videos and other rich media should be accompanied by transcripts, which should be submitted separately from the final proposal at the time of submission.

A transcript is the text equivalent of an audio or video file. They make it easier for people who need to access information in audio or visual media but cannot hear or see the content because they have a disability, do not have equipment such as speakers or headphones, or do not want to download a large file.

Write the transcript with these tips in mind:

- describe all pre-recorded information and action
- include on-screen text
- include dialogue and narration
- include important sounds
- include important action

