



Transportation Planning and Modal Integration Initiatives

Call for Proposals



Guide for Applicants

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This document is available on the Web at:

<http://www.tc.gc.ca/pol/en/acg/acgd/tpmi2005/menu.htm/>

Background

Canada's Strategic Highway Infrastructure Program

In Budget 2000, the Government of Canada committed to improving the economy and Canadians' quality of life by investing up to \$600 million in highway infrastructure across the country. In April 2001, the Strategic Highway Infrastructure Program (SHIP) was announced. The program has two components: a \$500 million highway construction component and a \$100 million national system integration component. The second component includes \$65 million for improvements at border crossings, \$30 million for deployment and integration of Intelligent Transportation Systems (ITS), and \$5 million for transportation planning and modal integration (TPMI) initiatives.

A first call for proposals for TPMI initiatives was issued by Transport Canada in February 2004. As a result 17 winning projects, totaling approximately \$2.2 million, were selected from 58 submitted. Approximately \$1.0 million of the resources identified under TPMI initiatives will support this second call for proposals, subject to the availability of funds and the quality of the proposals.

Transportation Planning and Modal Integration Initiatives

One of the goals of the Government of Canada's vision for transportation is to move to a more integrated transportation system. The national transportation system is more than the sum of its parts; it involves connections and integration of various modes and jurisdictions. Amidst growing concern about the full costs of transportation, Canadians are becoming increasingly aware that a sustainable and efficient transportation system plays an important role in ensuring Canada's competitive success in global trade. Increasingly, integrated logistics chains with global reach compete with one another. Inter-modal transportation requires that the physical and electronic connections between modal systems be fully integrated in order to increase system efficiency and reduce total logistics time and costs. New technologies, improvements in traditional infrastructure, and the harmonization of regulations will be important in designing systems and managing the demands that will be placed on transportation infrastructure in the future.

Countries also compete on the basis of the quality of their choices with respect to strategic investments. An integrated transportation system requires that transportation needs be considered from a system-wide and strategic perspective. It also requires planning and feasibility studies to assess transportation needs from a multi-modal perspective. In turn, transportation planning requires long lead times and collaborative approaches among many different players.

The Government of Canada encourages the development of innovative approaches to transportation issues to boost the efficiency and integrity of the transportation system as a whole and ensure its sustainability. By supporting the development of transportation-related expertise and research in the public, private and academic sectors,

Transport Canada can foster the innovation that will be required to help our transportation system adapt to the challenges of the future.

Transport Canada is pleased to announce a second call for proposals for initiatives that will advance modal integration and transportation planning along trade corridors. These initiatives can take the form of academic research studies or applied transportation initiatives.

- **Details for the TPMI initiatives are presented in Appendix 1.**

The following information is intended to guide all applicants as they prepare applications for funding under this call for proposals.

Objectives

Initiatives must meet one or more of the following objectives:

- support trade, tourism and traffic flows through integrated surface transportation corridors;
- enhance integration and improve connections between modes, through infrastructure and technology initiatives;
- increase transportation mobility, safety and security, and efficiency for private, public and commercial system users;
- promote integration of sustainable transportation principles in transportation decisions; or
- improve data collection to support more effective policy planning and operational management.

Eligibility

Eligible Applicants

Provinces, territories, municipalities, First Nations, registered not-for-profit organizations, private enterprises, public or private transportation authorities/agencies and Canada-based academics, including undergraduate and/or graduate students, engaged in transportation research at a Canadian university or college, or affiliated academic research centres are eligible to apply.

Partnerships between two or more of these entities are encouraged.

To be considered for funding, Transport Canada must receive your completed application no later than 15:00 (3:00 p.m.), local Ottawa time, on February 1, 2006.

Eligible Initiatives

Examples of eligible initiatives under this call for proposals include:

- planning and feasibility studies/projects (except for urban transit);
- infrastructure and technology projects that improve connections between modes or modal integration;
- initiatives that facilitate modal partnerships or cross-modal/shipper partnerships;
- research studies that provide greater understanding of multi-modal transportation;
- development and dissemination of information management tools;
- innovative approaches to transportation at cross-modal hubs/transfer points along trade corridors for the dispersal of persons or goods at ports, airports, rail stations, etc.;
- development, diffusion, and implementation of asset, freight and travel demand management systems;
- innovative approaches to the movement of freight and goods in rural and northern areas that make more effective use of available transportation options.
- freight patterns and relationships to land use patterns along trade corridors and strategies for improving environmental performance of the transportation system; and
- paperless transactions/electronic commerce technology and systems in the transportation environment.

Ineligible Initiatives

- Urban transit feasibility studies (e.g., dedicated bus lanes versus light rail).
- Research and development of Intelligent Transportation Systems.

Eligible Costs, Fees and Expenditures

Only costs, fees and expenditures directly related to carrying out an approved initiative are eligible for Transport Canada funding.

Ineligible Costs, Fees and Expenditures

Certain expenditures are not eligible for funding and therefore will not be considered in calculating the total eligible costs of the initiative. These include:

- expenses incurred before an application is approved and after the termination date;
- the cost of developing a proposal;
- costs of purchasing land, associated real estate and other fees, financing charges and interest payments on loans;
- leasing land, buildings, equipment and other facilities;
- provincial sales tax and the Goods and Services Tax for which the applicant or a third party is eligible for a tax rebate;
- all other costs eligible for rebates;

- costs that have been shared under other federal statutes or programs; and
- legal fees.

Funding

The SHIP is designed to promote partnerships and is therefore structured on a contribution agreement basis. Funding from all federal government sources for any given initiative is limited to a maximum of 50 percent of the total eligible costs. The maximum Transport Canada contribution under this call for proposals is \$150,000, with the exception of contributions to private enterprises, which are limited to \$100,000.

The matching contribution can be provided by the applicant acting alone or by the applicant in collaboration with other partners. A letter of intent from each collaborator providing financial or in-kind support must accompany an application. As part of the assessment process, collaborators may be contacted to seek clarification, as required.

All initiatives must be completed by October 31, 2008.

In-Kind Contributions

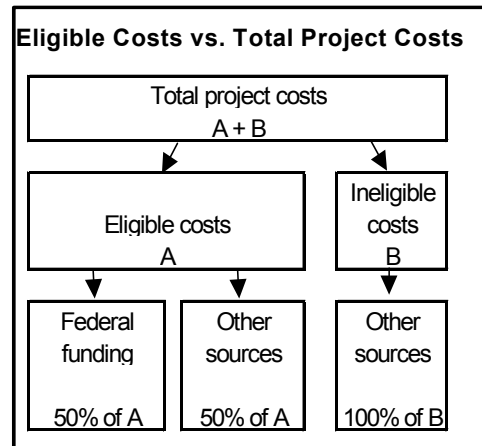
In-kind contributions of goods and services – provided they qualify as eligible costs and are essential to the initiative’s success (and would otherwise have to be purchased and paid for by the applicant) – are permissible as a component of an applicant’s matching contribution.

In-kind contributions cannot exceed 40 percent of the applicant’s matching contribution from all collaborating sources.

Please see Schedule B, Financial Information, for additional details about in-kind contributions.

Contribution Agreement

A contribution agreement between the Government of Canada and the recipient will be sent to successful applicants. The agreement will detail the financial and activity reporting requirements; other specific terms and conditions of the contribution; and the respective obligations and responsibilities of the recipient and the federal government.



The agreement also includes a Communications Protocol, outlining requirements for joint communications activities, such as public information products, news releases, public announcements, other joint events and official languages. Costs associated with these activities are eligible costs and should be included in the proposed budget.

Costs that meet the definition of eligibility will not be eligible unless incurred after the Minister of Transport has announced the successful applicants. No payment will be made to the applicant before a contribution agreement is signed.

Advance Payments

Payments are typically made after expenses have been incurred. However, based on demonstrated need, advance payments within the time period of the initiative may be authorized in accordance with the terms set out in the contribution agreement signed with each successful applicant.

Assessment Process

A review committee will assess the applications against the criteria set out in Appendix 1.

Members of the private sector and/or other public sector organizations may be invited, as required, to participate in the review process. Transport Canada will handle the information provided in the applications in accordance with the provisions of the *Privacy Act* and the *Access to Information Act*. (Visit <http://www.canada.justice.gc.ca/> for more information.)

Applications received on or before the deadline will compete for funds allocated for this call for proposals. The assessment process will be started only after the deadline. Transport Canada reserves the right to accept or reject any or all proposals received.

During the assessment process, applicants and their collaborators may be contacted and asked to clarify information, submit supporting documentation, or otherwise to adjust the proposal.

Approval Process

The review committee will make recommendations to the Minister of Transport. The Minister will make the final determination of qualified applicants, subject to the availability of funding and the quality of the proposals.

What Your Application Must Include

Applications must include the following:

Application Form: An application form is attached. The form is also available through Transport Canada's website at:

<http://www.tc.gc.ca/pol/en/acg/acgd/tpmi2005/menu.htm/>.

- **Detailed Information:** Please present detailed information in relation to the Assessment Criteria set out in Appendix 1. Excluding the Application Form, the application should not exceed 30 pages in length, including all attachments. Applications should use a standard font (minimum, 10-point type size) and include the following items and structure.

1. Cover Page

2. Summary of Initiative (2 pages maximum)

- Provide a brief synopsis of the current situation in the area of transportation targeted by the initiative and a clear, concise overview of how the proposed work creatively addresses deficiencies or opportunities for improvement or innovation in this area.

3. Full Proposal (25 pages maximum)

- *Needs and Objectives.* Include a clear statement of project need, the objectives of the proposed work, the expected outcomes, and the benefits to be derived from the work.
- *Operational Plan and Activities.* Describe how the initiative will meet the objectives. Show that the proposed steps and procedures are appropriate. Include a timeline for completion and delivery and describe a set of specific tasks and deliverables. Demonstrate how activities will be measured for success and evaluated (see Schedule A).
- *Outline of Future Applications for the Initiative.* Describe how the results of the initiative could be further developed or exploited commercially.
- *Composition of the Project Team.* Provide the name of the manager who will be assigned to the project, demonstrate his/her experience, education, and qualifications. Include his/her curriculum vitae. *For academic applicants, specify the roles of graduate and/or undergraduate students who will be involved in the research.*

4. Schedules

Additional information should be provided in separate schedules.

- **Schedule A – Performance Information.** The Operational Plan referred to above must contain performance information in order to evaluate the

effectiveness of the initiative and the overall call for proposals. Schedule A provides a suggested format for performance indicators.

- **Schedule B – Financial Information.** See Schedule B for detailed requirements.

How to Submit Your Application

Complete and submit the Application Form and three copies of the Detailed Information (original unbound) in either English or French.

Send the package by mail or by courier service to Transport Canada:

Raymond Sabourin
Highway and Border Policy Branch (ACGD)
Transport Canada
330 Sparks Street
Place de Ville, Tower C, 27th Floor
Ottawa, Ontario
K1A 0N5

Transport Canada must receive your completed application no later than 15:00 (3:00 p.m.), local Ottawa time, on February 1, 2006.

An acknowledgement of receipt will be sent to your mailing or e-mail address.

What You Will Need to Report On

Applicants whose initiatives are approved will be required to submit three types of reports.

- 1. Activity reports:** Recipients will be required to submit activity reports outlining progress at specific intervals, based on the type of initiative and as specified in the contribution agreement.
- 2. Financial reports:** Recipients will be required to submit claims for reimbursement of eligible expenditures at specific intervals, based on the type of initiative and as specified in the contribution agreement.
- 3. Evaluation report:** Upon completion of the initiative, a report will be required, consisting of a clear, concise evaluation of the objectives met, the outcomes achieved, and the lessons learned. A 10 percent holdback of the federal contribution will be released upon receipt of a satisfactory evaluation report. As evaluations become available, they may be summarized and publicized by

Transport Canada, to serve as guidance for future activities and to assist in evaluating the overall effectiveness of these initiatives.

Intellectual Property

Any intellectual property resulting from the work will remain with the recipient. Notwithstanding the foregoing, by submitting a proposal, the recipient agrees that information about findings that are not commercially sensitive will be summarized and published by Transport Canada, on the Transport Canada website and/or in hard-copy form, to serve as information for the transportation sector and as guidance for future activities in the transportation sector.

Recipients must agree that Transport Canada can use all information and material developed under the terms of the contribution agreement, during and following the term of the agreement.

For More Information

For more information about this call for proposals, please call (613) 998-3958, or e-mail TPIM-PTIM@tc.gc.ca.

Schedule A
Suggested Format for Performance Indicators – Planning Table

Clearly identify your initiative’s objectives and the activities and associated performance indicators that will help to determine whether your objectives have been met.

The following example illustrates these concepts – objectives, activities and indicators that would apply to infrastructure and technologies to improve connections between modes or modal integration.

Goals	Activities	Performance Indicators (for each goal)
1. Operational efficiency at transfer point	1.1 Construct staging area 1.2 Create scheduling system	Reduced transfer time by X minutes; improved scheduling (on-time pick-up improved by X percent).
2. Reduce congestion on city streets	2.1 Construct staging area	X percent reduction in emissions; reduced queuing on city streets (length and frequency)
3. Engage industry	3.1 Marketing activities to promote use of staging area and new scheduling system	Number of stakeholders using scheduling system
Potential Risks		How risk will be managed
External Risks: <ul style="list-style-type: none"> • Stakeholder buy-in. • Construction delays. 		<ul style="list-style-type: none"> • Preliminary discussions with stakeholders before undertakings. • Provide on-time incentive to contractor.
Internal Risks: <ul style="list-style-type: none"> • Human resources availability. 		<ul style="list-style-type: none"> • Ensure file sharing between employees.

Schedule B Required Financial Information

Each proposal must include the following financial elements:

- an estimate of the total and eligible costs for the initiative and an operating budget;
- a forecast of how funds will be spent (salaries, consultants, supplies/equipment, other expenditures such as travel and administration/overhead, reporting, communications and any other expenses);
- a breakdown of both total and eligible costs on a quarterly basis by fiscal years;
- a list of collaborators providing financial or in-kind support;
- for the applicant, the amount of confirmed support and the proportions that are cash and in-kind; and
- for each collaborator, the amount of confirmed support and the proportions that are cash and in-kind.

A letter of intent, including contact information, from each collaborator who will be providing financial or in-kind support must accompany this financial information. These letters must include a statement of interest in the initiative as well as a description of the nature and extent of the support, and, for in-kind contributions, their sources and valuations. As part of the assessment process, collaborators may be contacted to seek clarification, as required. Successful applicants will have three months to obtain confirmation letters from their collaborators once their projects are approved. No payments will be made to successful applicants before these letters are obtained.

In-kind contributions, where approved, may involve non-cash assets such as land, buildings, equipment, use of facilities, labour, and/or goods provided by the applicant and/or by the applicant's collaborators.

In-kind contributions should be measured at fair value or at cost – whichever is lower – at the date of contribution. Fair value is estimated using market or appraisal values. For contributed materials or services that are normally purchased, fair value would be determined in relation to similar materials and services.

No profit to the applicant or to any of the applicant's collaborators shall be taken into account or otherwise allowed when estimating or determining the fair value or cost of an in-kind component of the applicant's matching contribution

A matching contribution may include an in-kind component only if (a) the applicant has demonstrated that either fair value or cost has been reasonably estimated or determined for that component; and (b) the nature, extent, source and valuation of that component has been approved by Transport Canada simultaneously with the approval of the initiative.

Appendix 1 Assessment Criteria

To be considered for funding, all proposals submitted under this call for proposals must address an identified need or problem in the area of modal integration and/or transportation planning along trade corridors and be in alignment with one or more of Transport Canada's Strategic Directions in five key sectors:

- setting frameworks for an efficient transportation marketplace,
- managing and investing in transportation infrastructure,
- reducing the adverse environmental impact of transportation,
- improving safety and security, and
- encouraging innovation and skills development.

Assessment criteria that will be used by the review committee are outlined below. Criteria are divided into two parts; the respective weight of each part is shown. Applications must achieve a 60 percent score in each part in order to be considered for funding.

Criteria	Weight
Part I	65
Enhances integration and connections between modes	35
Demonstrates an innovative approach to addressing the need or problem identified by: <ul style="list-style-type: none"> • building on, rather than duplicating, existing approaches or initiatives; and • providing a novel and creative approach to promoting and realizing modal integration. 	20
Encourages enhanced cross-modal partnerships by seeking financial and non-financial contributions from public and/or private sector partners.	10

Part II	35
Increases accessibility and mobility options available for the movement of people or goods	15
Promotes integration of sustainable transportation principles in transportation decisions.	10
Increases the safety and security of the transportation system for private, public and commercial users.	10

In addition to the above criteria, Transport Canada will also evaluate each proposal based on:

- **Proposal Methodology**, i.e., alignment with one or more of the objectives of the program (see page 2); and measurable performance indicators that demonstrate if the objectives have been met.
- **Team Qualifications and Experience**, i.e., qualification/knowledge/previous experience of team members; prior success with similar size of project; and demonstrated project management skills.
- **Project Management**, i.e., project organization; task definition; project scheduling; and time management of personnel.
- **Cost versus Benefit Comparison & Risk Analysis**, i.e., the expected benefits are in line with the requested funding; the listed risks to the project are complete, realistic and include likelihood/impact details.
- **Quality of Proposal**, i.e., the proposal is clear and understandable; generates confidence in the thoroughness and quality of the work to be done; and avoids logic and completeness gaps.
- **Relevance of Proposal**, i.e., the proposal is relevant to the current reality of the Canadian transportation system; clearly states how proposal's goals identify and address a need or problem; is not a duplication of similar work.
- **Feasibility of Proposal**, i.e., the proposal is feasible with stated resources, timelines and work to be done.

APPLICATION FOR FUNDING

Part A — Applicant Information
1. Full legal name of your organization
2. Mailing address (include telephone number and, if applicable, fax number and e-mail address)
3. Mandate of your organization
4. Products and/or services offered by your organization
5. Year the organization was founded
6. Federal taxation number
7. Name, title and address of Project Leader
8. Name, title and address of Project Treasurer
Part B — Initiative Information
1. Description of initiative (40 words maximum)
2. Duration of initiative From: _____ To: _____
3. Attach detailed information (30 pages maximum). Present the information in the format specified on page 6 of the Guide for Applicants and in accordance with the Assessment Criteria (see page 11 in the Guide for Applicants).

Part C —Budget

1. Total Funding (a detailed financial breakdown is also required)

- a) total costs _____
- b) total funding secured _____
- c) total amount requested under this call for proposals _____

2. If you have applied for funding from other sources, indicate the amount to be contributed by these sources and whether the amount has been received or is anticipated. Attach letters of commitment.

Source: _____	Cash: _____	In-kind: _____	Confirmed: Y / N
Source: _____	Cash: _____	In-kind: _____	Confirmed: Y / N
Source: _____	Cash: _____	In-kind: _____	Confirmed: Y / N
Source: _____	Cash: _____	In-kind: _____	Confirmed: Y / N

Part D — Conflict of Interest

In compliance with the Conflict of Interest and Post-Employment Code for Public Office Holders or the Values and Ethics Code of the Public Service, please answer the questionnaire below, to ensure that former holders of public office do not receive a direct benefit from this proposal:

- 1. Do you employ, in your business or establishment, a former public office holder who left the federal government in the last 12 months?
- 2. Does your business have, as a shareholder, a former public office holder who left the federal government in the last 12 months?
- 3. If you answered yes to question #1 or #2, was this person at an Executive level or higher while in public office?
- 4. If you answered yes to question #3, you must ask that employee/shareholder to contact his/her former department to obtain written confirmation that he/she is in compliance with the post-employment provisions of the Conflict of Interest and Post-Employment Code. Such confirmation must be provided to Transport Canada's Highway and Border Policy Branch prior to the signing of any contribution agreement by Transport Canada officials.

Part E - Intellectual Property

Any intellectual property resulting from the work will remain with the recipient. Notwithstanding the foregoing, by submitting this proposal, the recipient agrees that information about findings that are not commercially sensitive will be summarized and published by Transport Canada, on the Transport Canada website and/or in hard-copy form, to serve as information for the transportation sector and as guidance for future activities in the transportation sector.

Recipients must agree that Transport Canada can use all information and material developed under the terms of the contribution agreement, during and following the term of the agreement.

Part F — Applicant Declaration

I (We), the undersigned, hereby certify that:

- all information provided in support of this request for funding is true and complete;
- if funding requested in this application is approved, the funds will be spent solely for the initiative and activities described in this application;
- I (we) agree to submit an evaluation after the initiative is completed and before the release of a 10 percent holdback; and
- I (we) provide consent for Transport Canada to make necessary credit and other inquiries in support of this request.

Signature: _____	Signature: _____
Name (Print): _____	Name (Print): _____
Position Title: _____	Position Title: _____
Date: _____	Date: _____
_____	_____