REQUEST FOR PROPOSAL

FP Canada Certification Examination Administration Services

August 18, 2022
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INTRODUCTION

The FP Canada Standards Council™ (“the Standards Council”) is a division of FP Canada™. The Standards Council is soliciting proposals for examination administration services for the FP Canada certification examinations: the CERTIFIED FINANCIAL PLANNER® (CFP) examination and QUALIFIED ASSOCIATE FINANCIAL PLANNER™ (QAFP) examination. The exams are computer-based exams, held nationally through both online proctoring and at in-person test centres, three times annually in a two-and one-day window respectively. FP Canada seeks proposals that will provide:

1. a description of the work to be provided;
2. time-lines for conducting the work;
3. qualifications and resources to complete the work; and
4. estimated costs for the work.

Company Information

Corporate Headquarters
902-375 University Avenue
Toronto, ON   M5G 2J5

A national professional body working in the public interest, FP Canada™ is dedicated to championing better financial wellness for all Canadians by leading the advancement of professional financial planning in Canada. There are approximately 21,000 professional financial planners in Canada who, through CERTIFIED FINANCIAL PLANNER® (CFP) certification and QUALIFIED ASSOCIATE FINANCIAL PLANNER™ (QAFP) certification, meet FP Canada’s standards.

A division of FP Canada, the FP Canada Standards Council establishes and enforces financial planning standards, sets the certification requirements for professional financial planners, and develops and delivers certification examinations. The FP Canada Standards Council ensures FP Canada certificants—CFP® professionals and QAFP™ professionals—meet appropriate standards of competence and professionalism through rigorous requirements of education, examination, experience, and ethics.

Background Information

Since its incorporation in 1995, FP Canada – previously Financial Planning Standards Council – has become the premier standards-setter for financial planning in Canada, elevating the standards of the CFP designation and establishing CFP certification as the standard for financial planners. FP Canada is also one of only six certification bodies in Canada to have received ISO 17024 accreditation from the Standards Council of Canada for meeting globally recognized standards for certification bodies.

The Standards Council is the sole licensor of the CFP professional certification marks in Canada and currently has approximately 17,000 licensed CFP professionals. Earning the CFP designation requires that individuals meet an education, examination and experience requirement and agree to abide by the FP Canada Standards Council Standards of Professional Responsibility (“Standards of Professional Responsibility”).
The CFP examination, first offered in June 1997, is held nationally three times a year in February, May and October. The CFP examination is currently a six-hour, multiple-choice and constructed response, high-stakes computer-based examination.

Our current format consists of three two-hour examination sessions where each session includes 10-12 technical stand-alone multiple-choice questions (MCQ) and three case studies with two-three related constructed response (CR) cased based questions.

The QAFP Examination, first offered in November 2020, is held nationally three times a year in February, May and October. There are approximately 2,000 QAFP certificants in Canada. The QAFP Examination is currently a four-hour, multiple-choice, high-stakes computer-based examination.

Our current format consists of two two-hour examination sessions where each session includes 35 technical stand-alone MCQs and two case studies with six-eight related MCQs to total no more than 50 questions per session.

Registration for both exams closes one month prior to the examination date. FP Canada staff are responsible for the registration of examination candidates.

The CFP examination and QAFP examination are offered in both English and French, with less than 1% of candidates per administration writing the examination in French.

**OBJECTIVE**

For FP Canada to secure a test administration service provider (“Service Provider”) and partner for in-person and online proctoring, over a multi-day window, effective with the February 2023 exam administrations and for a Service Provider who will also provide access to an integrated item banking solution and provide a tool for scoring the constructed-response portion of the CFP exam. FP Canada will look to contract for a period of two (2) years, with an option for FP Canada to renew for five additional one-year terms.
SCOPE OF REQUIRED SERVICES

FP Canada is committed to keeping its certifications, education, examinations, and continuing education requirements up-to-date and relevant for financial planners, the industry, and the consumers they serve. As part of FP Canada's on-going service provision and in adherence with our ISO 17024 certification with the Standards Council of Canada (SCC), the FP Canada Standards Council is committed to regularly reviewing its Service Provider needs and soliciting proposals to ensure that examination administration supports fair and valid examinations that result in reliable test scores.

For this opportunity, the Standards Council seeks to contract with a Service Provider to support the administration of the CFP exam and the QAFP exam at in-person test centres and with online proctoring. Annual candidate volumes are expected to be 1,650 candidates for the CFP examination and 800 for the QAFP examination with 60% expected to prefer in-person test centres, and 40% for online proctoring. The Standards Council seeks a Service Provider for the following tasks, specifically:

**Item banking and exam builds**

1. Provide software solution for item banking for both MCQ and CR type questions, including on-demand technical support when issues arise.
2. Support exam building, including multiple forms and multiple builds, with opportunity for review and editing in advance of the administration.
3. Allow for at least one self-scored, candidate-facing practice examination for each of the CFP examination and QAFP examination in advance of each administration.

**Pre-administration set-up for in-person testing**

1. Work with FP Canada to collect information regarding candidate registration, location selection, delivery format preferences.
2. Establish 40-50 writing centres across Canada for each administration as per the list of locations provided by the Standards Council.
3. Offer Canadian test centre facilities that offer wheelchair accessibility, appropriate lighting, low noise level, adequate temperature control, a wall clock, suitable seating and, wherever possible, back-up power sources in case of power failures. Examination centres should be selected to ensure sufficient space that allows at least eight feet between candidates. Locations with tiered seating will generally not be acceptable.
4. Establish alternate locations as required by candidates using the same guidelines as above.

Below is an approximation of the number of centres and candidates per province:

<table>
<thead>
<tr>
<th>Province</th>
<th>Number of Centres</th>
<th>Number of QAFP Candidates per Province</th>
<th>Number of CFP Candidates per Province</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB</td>
<td>3</td>
<td>30</td>
<td>140</td>
</tr>
</tbody>
</table>
5. Make testing accommodation arrangements as directed by the Standards Council. Candidates requiring a non-standard administration (e.g., additional time, large print examinations, reader services, etc.) will be considered if the requests are made reasonably far enough prior to the examination date. Generally, the Standards Council requires that requests be made at least two months prior to the examination date.

6. Contract with invigilators based on the following requirements per room in each writing centre:
   - Less than 10 candidates: 1 invigilator
   - 10 to 50 candidates: 2 invigilators
   - More than 50 candidates: 1 invigilator for every 25 candidates (or part thereof)

7. The Standards Council will expect the Service Provider to ensure that all invigilators are free of conflicts of interest and that confidentiality agreements are signed by the invigilators. The Service Provider will also ensure that appropriate controls are in place surrounding the examination materials. All examination materials must be accounted for before and after each administration.

8. The Service Provider will work with the Standards Council to develop and refine an Administration/Invigilator Manual that the Service Provider will provide to the invigilators.

9. The Service Provider will ensure that the invigilators participate in a mandatory pre-administration training webinar, and will provide support before, during, and after administration.

10. Provide information about examination locations to allow the Standards Council to print and ship candidate admission letters approximately three weeks prior to the examination administration.

11. Set-up a candidate identification system using the Standards Council-provided candidate identification numbers to facilitate examination centre information.

12. The Service Provider will ensure that proctors are able to communicate effectively in English, and French fluency for some regions is preferred.
Pre-administration set-up for online proctoring

1. Provide a secure online proctoring environment with live monitoring and audio and video recording appropriate for high-stakes examinations.

2. Work with FP Canada to collect information regarding candidate registration, time selection, writing preferences.

3. Provide candidates the opportunity to pretest their computer hardware and software to confirm compatibility and specifications for online proctoring interface in advance of the administration.

4. Make testing accommodation arrangements as directed by the Standards Council. Candidates requiring a non-standard administration (e.g., additional time, large print examinations, reader services, etc.) will be considered if the requests are made reasonably far enough prior to the examination date. Generally, the Standards Council requires that requests be made at least two months prior to the examination date.

5. Provide sufficient proctor coverage proctors based on industry best practices.

6. The Standards Council will expect the Service Provider to ensure that all proctors are free of conflicts of interest and that confidentiality agreements are signed by the proctors. The Service Provider will also ensure that appropriate security controls are in place surrounding the examination materials.

7. The Service Provider will work with the Standards Council to develop and refine an Administration/Proctor Manual that the Service Provider will provide to the proctors.

8. The Service Provider will ensure that the proctors participate in a mandatory pre-administration training, and will provide support before, during, and after administration.

9. The Service Provider will ensure that proctors are able to communicate effectively in English, and French (Canadian) fluency for some proctors is also desirable.

Administration for in-person testing

1. Provide in-person exam administration services for a one-day administration of the QAFP examination (three times annually) and a two-day administration of the CFP examination (three times annually), across Canada.

2. Ensure a consistent exam administration experience for all candidates that enforces the rules and expectations of the Standards Council for a secure administration. This includes, but is not limited to, use of a lock down browser, administrative control of software, identity authentication, candidate screening, environment security checks, active intervention, break protocols and sign-off protocols.

3. Prepare attendance rosters, irregularity reports, sample seating plans, seat numbers, and other necessary administration materials for examination centres.

4. Conduct invigilator training webinars, ensuring that all invigilators have an opportunity to participate. All invigilators will be required to attend one webinar.
before each administration. An e-mail reminder will be sent to all invigilators in the one to two days immediately prior to administration.

5. Provide telephone and technical support to invigilators on administration day.

6. Communicate any issues and incidents in a timely manner directly to the Standards Council for determination of next steps and resolution.

7. Ensure data privacy for all exam materials and related exam administration materials.

Administration for online proctoring

1. Provide live on-line proctoring services for a one-day administration of the QAFP examination (three times annually) and a two-day administration of the CFP examination (three times annually), for candidates in Canada only.

2. Ensure a consistent exam administration experience for all candidates that enforces the rules and expectations of the Standards Council for a secure administration. This includes, but is not limited to, use of a lock down browser, administrative control of software, identity authentication, candidate screening, environment security checks, active intervention, break protocols and sign-off protocols.

3. Offer technical support for candidate hardware and software issues that arise in a timely, professional and client-focused manner on exam days.

4. Communicate any issues and incidents in a timely manner directly to the Standards Council for determination of next steps and resolution.

5. Collect end-to-end recordings of the candidate exam administration, including both screen capture and the candidate, and chat logs of proctor-candidate interactions. Allow for proctor comments and incident reporting.

6. Ensure data privacy for all exam materials and related exam administration materials.

Examination Scoring

1. Provide a tool for scoring of candidate constructed response questions by volunteer teams (selected and managed by FP Canada).

2. Provide data file of MCQ answer strings to the Standards Council.

3. Collect Item Analysis data to support item level performance evaluation.

Reporting

1. Meeting regularly with FP Canada staff regarding examination administration.

2. Within the exam banking software offer a range of standard and customizable reports for export.

3. Provide, in a timely manner and in writing, a post-examination reports for each administration.
4. Provide post exam candidate incident reports, including but not limited to, issues of misconduct, technical issues, breaches of security protocol and candidate complaints.

5. Provide candidate answer string data (for MCQ) and response and scoring data from constructed-response items to facilitate statistical analysis and results distribution, which are handled internally by FP Canada.

Data, Examination, and Information Security

1. The security and confidentiality of candidate data and personal information, examination materials and other FP Canada confidential information will be considered paramount.

2. The Service Provider shall have in place and maintain appropriate administrative, technical and physical safeguards to ensure the security of FP Canada’s confidential information and candidate data and personal information. This includes:
   - Establishing industry standard data center security protocols and procedures
   - Administering exams in a secure test environment;
   - Monitoring site activity to address misconduct issues and testing irregularities;
   - Enforcing test center and online security procedures and manage incident response to ensure business continuity;
   - Systematically collect, document and report evidence of misconduct or testing irregularities for both in-person and online administrations.

3. Ability to interface between FP Canada and the Service Provider platforms, for sharing of candidate registration flow information or registration selection.

4. FP Canada will require Service Providers who are short-listed through the RFP process to complete the Third-Party Provider Security Risk Assessment Questionnaire, included as Appendix B for reference.

FP Canada Responsibilities

As appropriate, the Standards Council will be responsible for the following:

1. All candidate registration activities.
2. Assessing needs for special accommodations.
3. Provision of electronic list of candidates, including candidate identification number, examination language and examination centre/format (online proctoring or in-person).
4. Maintaining deadlines in conjunction with the Service Provider so that quality control mechanisms can be fully implemented.
5. Management of volunteer teams engaged for item development, peer review, mock examination and scoring processes.
6. Reporting of individual results to CFP examination and QAFP examination candidates.
7. All communications with the candidate before and after the examination, although open to discussing other options required for online proctoring or in-person testing requirements.
8. Post examination debrief reporting to support continuous process improvement.
The Standards Council looks to begin the project immediately on contracting with a Service Provider, with the first administration set to launch February 2023. See Appendix A for an Activity Schedule for 2022, provided as a sample of the scheduled activities.
MANDATORY PROVISIONS OF SERVICE AGREEMENT

The services agreement (the “Agreement”) with the successful bidder (hereinafter the “Service Provider”) will contain terms and provisions that are customary of a service agreement of this nature, including, but not limited to, provisions substantially similar to the mandatory terms set out below. FP Canada reserves the right to modify or expand on the following provisions.

Term

The term of the Agreement will be a period of two (2) years. FP Canada will have the option to renew for five additional one-year terms.

Ownership FP Canada Materials

FP Canada will retail all rights, title, and interest, including all intellectual materials, which FP provides or makes available to Service provider in connection with its performance of this Agreement (“FP Canada Materials”). FP Canada Materials includes, without limitation, any information, documentation, or data provided by FP Canada, including candidate personal information (including examination data) and exam content. FP Canada represents and warrants that it has the right to provide the Service Provider with the FP Canada Materials for use in performing the services under the Agreement (the “Services”). For the term of the Agreement, FP Canada grants the Service Provider a non-exclusive, limited licence to use the Organizational Materials for the purposes of performing the Services (the “FP Canada Materials Licence”).

Insurance

The Service Provider will maintain, at its sole cost expense, the following insurance coverages with financially sound and reputable insurance companies licensed to operate in the Province of Ontario:

- **Commercial General Liability** insurance in the amount of at least $2,000,000 per occurrence. This policy must be endorsed to add FP Canada as an additional insured with respect to liability arising from the operations of the Service Provider.

- **Errors and Omissions Liability** insurance with per occurrence limits of not less than $2,000,000.

- **Cyber Insurance and/or Technical Professional Liability** policy with per occurrence limits of not less than $2,000,000.
Representations and Warranties

The Agreement will contain the following representations and warranties on the part of the Service Provider:

- it has full right to enter into the Agreement and to perform its obligations thereunder;
- it has the expertise and resources necessary to perform the Services;
- it holds all licence and intellectual property rights to perform the Services;
- all technology, software, and other intellectual property used by the Service Provider to provide the Services (the “Service Provider Intellectual Property”) will not infringe the rights of any third party including any patent, trademark, trade secret, copyright, right of privacy or publicity, or other intellectual property rights.
- the Service Provider shall comply with all applicable laws, including, without limitation, those regarding privacy and data protection.

Confidentiality

The Agreement will include a provision that the Service Provider shall maintain the confidentiality of all FP Canada confidential information provided to the Service Provider (“Confidential Information”) and only use such Confidential Information for the sole purpose of providing the services to FP Canada. Confidential Information includes all candidate data and personal information (“Personal Information”).

Privacy

The Agreement will include a provision that the Service Provider shall comply with FP Canada’s privacy policy and all applicable privacy laws (“Privacy Laws”) with respect to any Personal Information that it collects, receives, processes, or uses pursuant to this Agreement and shall, without limiting the generality of the foregoing:

1. abide by its obligations arising pursuant to the Privacy Laws and shall at all times conduct itself in a manner that does not contravene Privacy Laws;
2. access, collect, receive, process and use Personal Information only as necessary to perform the Services; and
3. promptly refer to FP Canada all complaints regarding, or requests for access to, or correction of, Personal Information received by Service Provider from third parties and shall cooperate with FP Canada in responding to any such requests.
Data Security

“FP Canada Data” means collectively FP Canada Confidential Information (including Personal Information), FP Canada Materials and any FP intellectual property provided to or accessed by the Service Provider.

Service Provider shall protect the FP Canada Data with physical, organizational and technological safeguards that are appropriate having regard to the nature, quantity and sensitivity of such information and that meet or exceed FP Canada’s requirements and those of applicable laws, including, in the case of Personal Information, Privacy Laws. Without limiting the generality of the foregoing, the Service Provider shall:

1. take an inventory, at least annually, of all records containing Personal Information, to identify any losses;
2. not store or process, and shall not permit to be stored or processed, the FP Canada Data at any location other than the address(es) set out in the Agreement and in any event not outside of Canada or the United States;
3. use physically secure areas for the storage of records and restrict access to authorized personnel;
4. keep all FP Canada Data that is stored in tangible form physically segregated from other tangible forms of information, and keep FP Canada Data in electronic form logically or physically segregated from any other information of Service Provider or any third party;
5. implement automated or manual controls to prevent unauthorized use (e.g., copying, transmission or printing) of FP Canada Data;
6. keep all FP Canada Data encrypted at all times (i.e., while at rest and while in transit);
7. develop, maintain and enforce appropriate policies, procedures, and access control mechanisms to prevent any access to FP Canada Data by its employees or representatives except those that have a ‘need to know’ the information to perform specific authorised functions. The access and privileges granted shall be the minimum necessary to perform the assigned functions; and
8. maintain and secure suitable backup copies of all records containing FP Canada Data throughout the term of this Agreement.

In the event of any security incident involving FP Canada Data or other breach of its obligations set out above (“Security Incident”), it shall:

1. report the Security Incident to FP Canada without delay (but in any event, within 48 hours of becoming aware of the Security Incident);
2. mitigate, to the extent practicable, any harmful effect of the Security Incident that is known to Service Provider;
3. co-operate with FP Canada in creating records and providing any reports or notices regarding the Security Incident that are required by Privacy Laws or that FP Canada deems appropriate; and
4. take all reasonable steps to prevent future Security Incidents.
No Publicity

The Service Provider shall not publicly disclose that it is providing or has provided services of any nature to FP Canada without the prior written consent of FP Canada.

Indemnity

The Service Provider shall indemnify and defend FP Canada, its subsidiaries and affiliates, and of their officers, directors, employees, members agents, servants and invitees from and against all losses, damages, demands, claims, suits and other liabilities (including reasonable legal fees and expenses and other expenses of litigation) incurred by FP Canada which occur or are caused, directly or indirectly, by in connection with: (i) the breach by the Service Provider of any warranty or covenant under the Agreement; (ii) the breach of the FP Canada Materials Licence; (iii) the breach of the Service Provider’s confidentiality, privacy or data security obligations under the Agreement; (iv) the negligence, omission or willful misconduct of Service Provider or anyone acting under Service Provider’s direction or control or on its behalf in the course of the performance of the Service Provider’s obligations under this Agreement; (v) any claim by a third party that the Service Provider Intellectual Property infringes, violates or misappropriates any rights, including intellectual property rights, of that third party; or (vi) personal injury or property damage.

Limitation of Liability

In no event will FP Canada be responsible for any direct, indirect, or consequential damages sustained by Service Provider, howsoever caused. Except for the Service Provider’s indemnity obligations or its breach of its confidentiality, privacy or data security, the maximum liability of the Service Provider to FP Canada will be the greater of the fees paid to the Service Provider under the Agreement or the insurance coverage set out in the Agreement.

Sub-Contracting

The Service Provider may not subcontract the Services provided under the Agreement without the prior written consent of FP Canada.

No Exclusivity

The Agreement will in no way limit the right of FP Canada to contract with any other party including but not limited to any contract for similar or identical services to be provided by Service Provider under this Agreement.

Governing Law

This Agreement will be governed by and construed in accordance with the laws of the Province of Ontario. The sole jurisdiction and venue for any litigation arising out of this Agreement will be an appropriate court in Toronto, Ontario, Canada.
TERMS AND CONDITIONS OF THIS RFP

General Terms and Conditions

FP Canada reserves the right, at its sole option, and for its convenience, to accept and/or reject any proposal response, in whole or in part, for any or no reason. By making this RFP, FP Canada does not imply or give any assurance whatsoever that any proposal will be accepted. No contractual or other legal obligations arise on the part of FP Canada to any proponent by this RFP until a final, written agreement, if any, is subsequently entered with a proponent.

FP Canada may or may not award the business that is the subject of this RFP to any proponent or proponents at FP Canada’s sole discretion. FP Canada reserves the right to negotiate with proponents, seek clarification from proponents regarding their proposal responses and invite modifications to the proposal responses submitted.

A proponent’s proposal response is submitted at its own risk. If, prior to the deadline for submission of proposals, a proponent fails to notify FP Canada of an error and your proposal is selected, the proponent will not be entitled to any compensation or time due to the error or its later correction.

A proposal shall constitute a binding offer capable of acceptance in whole or in part by FP Canada. The issuance of this RFP and the receipt of information in response to this RFP shall not in any way cause FP Canada to incur any liability or obligation to bidders whatsoever, financial, or otherwise. FP Canada assumes no obligation to reimburse or in any way compensate bidders for expenses incurred therein, in connection with a bidder’s response to this RFP, or any other proposal that bidders may elect to submit in response to this RFP.

FP Canada reserves the right to award its business covered by this RFP to multiple bidders or to a single bidder, at its sole discretion.

Agreement Negotiation

If the Agreement cannot be negotiated within 30 days of notification to the successful proponent, FP Canada may in its discretion terminate negotiations and reject the proposal on that basis. FP Canada may then negotiate with successive proponents in order of evaluation ranking.

Acceptance of Terms

By submitting a proposal, you represent and warrant you have read, completely understand, and accept all terms and conditions of this RFP.
SUBMISSION REQUIREMENTS

Question Period

Questions regarding this Request for Proposal should be directed to:
Naomi Sinclair (on behalf of Paulette Anthony, Director, Examinations)
Examination Administration Coordinator

Naomi.Sinclair@fpcanada.ca

Questions should be provided by Friday, September 9 at 5:00 p.m. (EDT). Responses will be distributed to all potential Service Providers on Wednesday, September 14.

Submission Requirements

Your proposal should include the following and preferably be structured in this format:

I. Your Understanding of FP Canada’s Requirements
   i. Detail each section of the scope of required services and your interpretation of our needs.

II. Statement of Work
   i. Specify your organization’s objective in completing the tasks as outlined within the scope.
   ii. List the tasks to be completed and describe how each task is to be accomplished, detailing your organization’s processes and infrastructure.
   iii. Relate how data are to be treated regarding security and presentation. If available, provide samples of reports that will be provided to FP Canada.

III. Deliverables Timeline
   i. Provide a schedule of each task by day and/or week and the total time for each task as outlined within the scope, where applicable and/or as related to each exam administration.

IV. Pricing
   i. Please provide a detailed breakdown of how pricing was determined, including assumptions. All fees must include all costs associated with providing the required services, including by exam delivery format. All disbursements and additional expenses included in your fees must be outlined.
   ii. Where fixed costs cannot be determined, include the process for calculating non-fixed costs.
iii. As part of the cost breakdown, personnel hours should be broken down by task where applicable.

iv. Identify any factors that may impact timing or pricing.

V. Administration

i. Provide an organizational chart, as applicable, of the roles and personnel assigned to FP Canada.

ii. Provide biographical information of senior managers or above assigned to FP Canada.

VI. Corporate Qualifications

The proposal should include:

i. Your corporate organizational structure.

ii. The organizational background and related project capabilities.

iii. Contact information for at least two references from similar organizations to FP Canada.

iv. Details of relevant experience for Exam Services in Canada and/or other countries.

Please feel free to include any other services that your firm may offer, and their related costs, in relation to the competency profile review not outlined above that may be of interest to FP Canada.

Timing

- Release RFP - August 18, 2022
- Deadline for submitting written questions - September 9, 2022
- Response to questions distributed - September 14, 2022
- Proposals due - By October 5, 2022
- Finalist selection - October 28, 2022
- Finalist presentations (virtually) - November 8, 2022
- Selection - November 15, 2022
- Begin transition – December 5, 2022
Submission Conditions

FP Canada will accept proposals under the following conditions:

1. Please submit one electronic submission by 5:00 p.m. (ET) October 5, 2022. A hard-copy proposal is not required.

2. The proposals and all other correspondence regarding the project must be directed to:

   Paulette Anthony  
   Director, Examinations  
   c/o Naomi Sinclair, Examination Administration Coordinator  
   FP Canada Standards Council  
   902-375 University Avenue  
   Toronto, ON M5G 2J5  
   t. 416.593.8587  
   Naomi.Sinclair@fpcanada.ca

3. The Service Provider must acknowledge that if awarded the contract, they will:
   a. function as an independent contractor in the conduct of this project, and assume full responsibility for all actions, damages, injuries, etc.;
   b. provide a description of current errors and omissions insurance relevant to the project;
   c. maintain strict confidentiality and agree to be bound by a confidentiality agreement; and,
   d. at all times comply with all laws, rules, and regulations of the appropriate jurisdictions.

4. The proposal should be prepared in conformance with the information outlined in Submission Requirements above.

Proposal Review

The contract is expected to be awarded by December 5, 2022 and will commence immediately. Proposals received by FP Canada will be kept confidential.

Non-disclosure

The bidder agrees that this RFP and any material, data or information provided by FP Canada in connection with this RFP will be considered FP Canada’s confidential property (“RFP Confidential Information”). The bidder shall maintain the confidentiality of the RFP Confidential Information and only use the RFP Confidential Information for the purpose of developing and submitting a proposal pursuant to this RFP. The bidder shall not disclose the RFP Confidential Information to any employee, contractor or representative who is not involved in its preparation of a proposal,
Under no circumstances shall a bidder discuss any aspect of this procurement with any other external entity without FP Canada’s prior written consent. The information in this document may not be used or shared with any other parties for any other purpose without FP Canada’s prior written permission. A bidder may request confidential treatment of any portion of its response, but it must indicate so in writing.

If requested by FP Canada, a bidder shall return any RFP Confidential Information within five calendar days after that request.

No references to FP Canada, in part or whole, or to any party affiliated with FP Canada Standards Council, or any associated trade names, trademarks, or proprietary subject matter, or the content of this RFP shall be used in any bidder advertising, promotional efforts, or any publicity of any kind, whatsoever, without prior written consent.
APPENDIX A: ACTIVITY SCHEDULE: EXAM SERVICES

<table>
<thead>
<tr>
<th>Activity</th>
<th>Activity Schedule</th>
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<tbody>
<tr>
<td>Registration opens</td>
<td>January 13</td>
</tr>
<tr>
<td>Practice exam made available</td>
<td>January 10</td>
</tr>
<tr>
<td>Deadline for accommodation and French language requests</td>
<td>April 12</td>
</tr>
<tr>
<td>Mock Examination</td>
<td>March 21-23</td>
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<tr>
<td>Registration closes</td>
<td>May 3</td>
</tr>
<tr>
<td>Provision of initial candidate lists</td>
<td>May 13</td>
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<tr>
<td>Provision of alternate location and special accommodation requests</td>
<td>May 13</td>
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<tr>
<td>Deadline for submission of candidate’s supporting materials</td>
<td>May 10</td>
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<tr>
<td>Provision of final candidate list</td>
<td>May 18</td>
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<tr>
<td>Review of published Exam</td>
<td>May 6</td>
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<tr>
<td>Exam is locked for administration</td>
<td>May 25</td>
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<tr>
<td>Provision of examination centre information for creation of admission letters</td>
<td>May 17</td>
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<tr>
<td>QAFP Examination</td>
<td>May 31</td>
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<td>CFP Examination</td>
<td>June 1-2</td>
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<tr>
<td>Provision of answer strings to FPSC</td>
<td>June 1 and 3</td>
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<tr>
<td>Incident reports provided</td>
<td>June 9</td>
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<tr>
<td>Scoring week</td>
<td>Week of June 13</td>
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<td>Debrief meeting</td>
<td>July 4</td>
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<tr>
<th>Activity</th>
<th>May 2022 Administration</th>
<th>October 2022 Administration</th>
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</thead>
<tbody>
<tr>
<td>Provision of answer strings to FPSC</td>
<td>June 1 and 3</td>
<td>TBD (October 18 and 21)</td>
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<tr>
<td>Incident reports provided</td>
<td>June 9</td>
<td>TBD (October 26)</td>
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<tr>
<td>Scoring week</td>
<td>Week of June 13</td>
<td>Week of October 31</td>
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<tr>
<td>Debrief meeting</td>
<td>July 4</td>
<td>TBD (November 21)</td>
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APPENDIX B: THIRD-PARTY PROVIDER SECURITY RISK ASSESSMENT QUESTIONNAIRE

FP Canada is obligated to safeguard confidential information, manage information security risk and manage operational risk. Please provide answer for the questions below that apply and in context of the product or service you will be providing FP Canada. Upon completion of the assessment we may require additional information. If necessary, you may attach diagrams as appendices to support your answers.

1. **Contact Information**

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<tr>
<td><strong>Company Name</strong></td>
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<td><strong>Full Address</strong></td>
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<td><strong>Website URL</strong></td>
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<td><strong>Contact Name</strong></td>
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<td><strong>Phone number</strong></td>
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<td><strong>Email address</strong></td>
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<tr>
<td><strong>Description of service or product being provided to FP Canada:</strong></td>
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2. Does the Provider have a written information security policy? If yes, append a copy of, or a link to, the information security policy. If not, explain how security is enforced in your organization.

3. Does the Provider have an existing privacy policy and procedures for the protection of Personal Information? If yes, append a copy of, or a link to, the privacy policy. If not, explain.

4. Does the Provider have a single point of contact for security-related concerns for FP Canada? If so, provide the single point of contact. If not, explain.  
   *Note: that if the single point of contact is an individual, a backup or escalation point should also be provided.*
5. Do you have documented processes in place to manage privacy complaints, concerns, inquiries, information accuracy issues, and breaches?

6. Has the Provider achieved a recognized information security standard (e.g. ISO/IEC 27001, PCI DSS)?

7. Does the Provider have a formal change control process for IT changes and are information security implications a formalized part of change control and review? If so, describe the change management process.

8. Does the Provider have a dedicated security team or resource(s) with information security duties? If so, describe which security duties assigned.

9. Do the Provider’s employees receive information security awareness training? If so, describe this awareness training.

10. Is a background check required for all the Provider’s employees and contractors accessing and handling the organization's data?

11. Does the Provider have security measures in place for protecting confidential information? If so, list the security measures in place and provide details for each security control.

12. Are Intrusion Detection Systems (IDS) and/or Intrusion Prevention Systems (IPS) used by the Provider? If yes, provide a network topology for the environments illustrating location of these components and other supporting security components of the infrastructure.

13. Is antivirus software installed and maintained on data processing servers and workstations?

14. Are system, application, and security patches applied to workstations and servers on a routine basis within a formal patch management process? If so, provide details of the process.

15. Will the Provider’s employees and contractors have a unique log-in IDs or shared IDs when accessing FP Canada data?

16. Is access restricted on systems that contain sensitive data? If yes, what controls are currently in place to restrict access?

17. Is there formal control of access to System Administrator privileges? If so, describe the controls in place. If not, explain.

18. Are the Provider’s employees and contractors required to use a VPN when accessing systems from all remote locations?

19. Does the Provider allow wireless access? If yes, describe how wireless access is protected.

20. Is physical access to data processing equipment (servers and network equipment) restricted? If yes, what controls are currently in place?

21. Are network boundaries protected by firewalls?

22. Are servers configured to capture who accessed a system and what changes were made? If yes, please provide details on log management technology and practices in place. If not, in case of a security breach or incident, how does the Provider determine who accessed the system and what changes were made?

23. Are system and security patches tested prior to implementation in the production environment?
24. Is regular network vulnerability scanning performed? If so, describe the frequency, technology used and process related to vulnerability analysis.

25. Does the Service Provider outsource its data storage? If yes, to who is the data outsourced and what measures/controls are in place to ensure data continuity and protection?

26. Are computer systems (servers) backed up according to a regular schedule? If so, describe the backup process/schedule.

27. How does the Provider verify back-up and recovery processes?

28. Does the Provider encrypt its backups?

29. Does the Provider have a formal Incident Response plan? If so, describe how the Provider handles data incidents such as breaches or other information security incidents.

30. If an information security breach involving FP Canada data occurred, would FP Canada be notified of the breach? If yes, how soon would the notification be made?

31. Does the Provider scan or have a third-party scan its applications for vulnerabilities before the applications are deployed in production? If yes, please provide which technologies and associated processes are used for application security scanning?

32. Does the Provider have a latest Penetration Testing results associated with the service / product offered? If yes, can FP Canada get a copy of it?

33. Does the Provider comply with PIPEDA as well as any provincial privacy legislation? If yes, please provide details.

34. Does the Provider have a Cloud Security data protection policy that includes regulations for data sovereignty? If yes, please describe.