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1.0 AUDIT PORTAL USER GUIDE

This Audit Portal User Guide is intended to assist Individual Registrants undergoing a compliance audit in navigating the online audit portal.

For detailed information about the compliance audit program, please refer to the Guide to the Compliance Audit Program for Individual Registrants.

1.1 LOGGING INTO THE AUDIT PORTAL

1. Click the blue text that says 'Click here to access the Individual Audit Portal' in the notification email that you received. This link will bring you to a login screen:

   **Important - Actions required from you by [Due Date]**
   1. Review the Guide to the Compliance Audit Program for Individual Registrants
   2. Log in to the individual audit portal by clicking the link below and using your six-digit User ID number and password. The audit portal is the main interface for conducting your compliance audit and you can check the status of your audit here any time.

   ![Click here to access the Individual Audit Portal](image)

2. Enter your Engineers and Geoscientists BC six-digit user ID and password on the login screen.

3. Click the 'Login' button.
4. If you have forgotten your password or User ID, click the ‘Forgotten Password or User ID’ link to reset them by filling in your email address:
Audit Portal Main Page:

REGISTRANT AUDIT PORTAL

AUDIT SUMMARY

- Audit Initiation Date: 6/28/2023
- Audit Status: In Progress

Action Required - Complete Conflict of Interest Disclosure and submit required information by July 19, 2023

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Status</th>
<th>Due Date</th>
<th>Date Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conflict of Interest Disclosure</td>
<td>Incomplete</td>
<td>7/19/2023</td>
<td></td>
</tr>
<tr>
<td>Submit Required Information</td>
<td>Incomplete</td>
<td>7/19/2023</td>
<td></td>
</tr>
</tbody>
</table>

If you have questions about your compliance audit, please contact the Individual Audits Team at individualaudits@egbc.ca.
1.2 CONFLICT-OF-INTEREST DECLARATION

The first step after logging into the audit portal is to complete the conflict-of-interest declaration. To do this:

1. Click the 'Complete Conflict of Interest Disclosure' button.

2. Review the information on screen.

If there is no conflict of interest to report:
   a) Select 'No, there is no conflict of interest to report.'
   b) Check the checkbox next to 'I hereby confirm that the information set forth above is true and complete to the best of my knowledge.'
   c) Click the 'Submit' button.

Note: A potential or actual conflict of interest exists when commitments and obligations may be compromised by other material interests or relationships (especially financial) of the Individual Registrant, particularly if those interests or commitments are not disclosed.

This Conflict-of-Interest Disclosure Form must indicate whether you, or a person closely associated with you, has a pre-existing personal or financial relationship with the assessor or a person closely associated with the assessor, that might reasonably appear to affect the impartiality of the audit process.

You must disclose any personal, business, voluntary or other affiliation that may give rise to a real or perceived conflict of interest.

Please note that a compliance audit will not be cancelled due to a reported Conflict of Interest. If a Conflict of Interest exists, another assessor will be appointed to your file.
If there is a conflict of interest to report:

a) Select ‘Yes, there is a potential conflict of interest to report.’
b) Enter the details of the conflict of interest in the text field.
c) Check the checkbox next to ‘I hereby confirm that the information set forth above is true and complete to the best of my knowledge.’
d) Click the ‘Submit’ button.
e) The portal will update to show that the reported conflict of interest is under review. You will also receive a confirmation email.

Note: If a new assessor is assigned to your audit, you will receive an email notifying you to complete a new Conflict-of-Interest Declaration.

Please indicate whether or not there is any potential conflict of interest with the assigned assessor(s) identified above.

- No, there is no conflict of interest to report.
- Yes, there is a potential conflict of interest to report.

Please describe in detail, any relationships, transactions, positions you hold (volunteer or otherwise) or circumstances that you believe create a potential conflict of interest (if necessary, please send us any supplementary description via email to individualsaudits@egbc.co).

[Enter details of conflict of interest]

I hereby confirm that the information set forth above is true and complete to the best of my knowledge.

Submit

Reported Conflict of Interest under review.
1.3 DOWNLOADING THE QUESTIONNAIRE

To download the audit questionnaire:

1. Click the 'Upload Documentation' button.

2. Review the instructions on screen.

3. Click on the "Download Questionnaire" link. Take note of the location the file is downloaded to on your device.

4. Open the downloaded Word file on your device and fill it out.
1.4 UPLOADING DOCUMENTS

Once you have completed the questionnaire and collected your supporting documents, you must return back to the Audit Portal to upload them:

1. Questionnaire: You can only upload one questionnaire attachment (uploading an additional file will overwrite the previous file). To do so, either:
   a) Click the ‘Select files...’ button and follow the steps your device prompts you with or
   b) Drag and drop the file to ‘Drop files here to upload’

2. Supporting documents: You can upload multiple attachments and different file types. To do so, either:
   a) Click the ‘Select files...’ button and follow the steps your device prompts you with or
   b) Drag and drop the file(s) to ‘Drop files here to upload’
   Note: If you select the wrong file, click the X next to the attachment to remove it.

3. Click the ‘Submit’ button.

Additional documentation required:

1. If you receive an email from your assessor requesting additional documentation, review the email to see what document(s) you are required to upload.
2. Click on the portal link in the notification email and login.
3. Upload only the requested additional document(s). Do not upload the previously uploaded documents or questionnaire again.
1.5 INTERVIEW SCHEDULING

The following steps apply to the initial interview, subsequent interview(s) (if applicable), and final interview (if applicable):

1. You will receive an email notifying you that an interview is necessary and prompting you to select a date and time for the interview. Click on the portal link in the email and login.

2. Click the ‘Select Interview Date and Time’ button to see the available interview dates and times:
   a) Select one of the proposed timeslots that works for you, or
   b) Select ‘None of the above’ and enter a reason and provide your availability.

3. Click the ‘Submit’ button.

4. If you have selected a timeslot, the assessor will send you an Outlook meeting invite with details on what to expect and how to prepare for the interview.
**1.6 AUDIT FINDINGS & DOWNLOADING THE AUDIT REPORT**

When the assessor has completed the audit report, you will receive an email notification of the audit report and audit findings:

1. Click on the portal link in the notification email and login.
2. Click the ‘Download Report’ button.
3. A PDF copy of the report will be downloaded to your device.
4. Review the audit report to see details of your assessor’s audit findings.
5. The audit portal will show what further actions you need to take. More information on specific actions are described in the sections below.

### AUDIT FINDINGS

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Status</th>
<th>Due Date</th>
<th>Date Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audit Report</td>
<td>Issued</td>
<td>n/a</td>
<td>6/28/2023</td>
</tr>
<tr>
<td>Corrective Action Request - Documented Checking</td>
<td>Waiting for Submission</td>
<td>7/19/2023</td>
<td>Complete Corrective Action Plan</td>
</tr>
<tr>
<td>Opportunity for Improvement - Documented</td>
<td>Waiting for Acknowledgement</td>
<td>7/19/2023</td>
<td>Acknowledge</td>
</tr>
</tbody>
</table>

Professional Activities or Work

Waiting for Acknowledgement

7/19/2023
1.7 AUDIT FINDINGS – OPPORTUNITIES FOR IMPROVEMENT

You must acknowledge any Opportunities for Improvement identified by your audit assessor. To do this:

1. Click the ‘Acknowledge’ button.

2. Review the ‘Findings’ and ‘Requirement’ information left there by your assessor.
3. Check the checkbox next to ‘I acknowledge that I have read the information above.’
4. Click the ‘Submit’ button.

5. Your Opportunities for Improvement status will update to ‘Acknowledged’.
1.8 AUDIT FINDINGS – CORRECTIVE ACTION REQUESTS

You must submit a Corrective Action Plan (CAP) for any Minor Non-conformances identified by your audit assessor:

Note: Refer to the Corrective Action Guide for detailed instructions on how to draft a CAP.

1. Click the 'Complete Corrective Action Plan' button.

2. Enter details under 'Root Cause'.
3. Enter details under 'Action Plan'.
4. Select a date for 'Implementation Targeted Completion Date'.
5. If applicable, upload supporting documents.
6. Click the 'Submit Corrective Action Plan' button.

7. The Corrective Action Plan status will update to 'Submitted'.
If your Corrective Action Plan is accepted:

1. Once your assessor has reviewed and accepted your CAP, the status will update to 'Accepted – Closed'. You will also receive an email notification acknowledging this.

If you are required to resubmit your Corrective Action Plan:

1. If your assessor reviews your CAP and finds that it is not acceptable, they will contact you to advise that the CAP has been rejected and provide the reasoning. You will also receive an email notification with a link to the audit portal.
2. Login to the audit portal. The CAP status will show as ‘Rejected’.
3. Click the 'Complete Corrective Action Plan' button to revise the CAP that you had previously submitted.
1.9 AUDIT FINDINGS – MAJOR NON-CONFORMANCES

Any Major Non-conformances identified by your audit assessor must be referred to the Audit and Practice Review Committee for review, as required by the Bylaws.

1.10 FILE CLOSURE

Once any audit findings have been acted upon and your assessor closes your audit file, the audit portal will show that the audit status is ‘Closed’. You will also receive an email confirming that your audit file has been closed.