

COMPLIANCE AUDIT PROGRAM FOR INDIVIDUAL REGISTRANTS

AUDIT PORTAL USER GUIDE

VERSION 1.0
JUNE 29, 2023



**ENGINEERS &
GEOLOGICISTS**
BRITISH COLUMBIA

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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

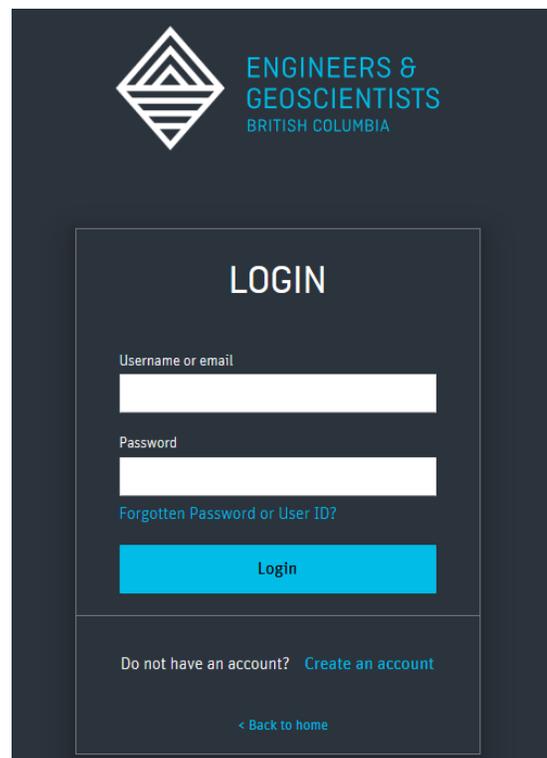
1. Click the blue text that says 'Click here to access the Individual Audit Portal' in the notification email that you received. This link will bring you to a login screen:

Important - Actions required from you by .[Due Date]

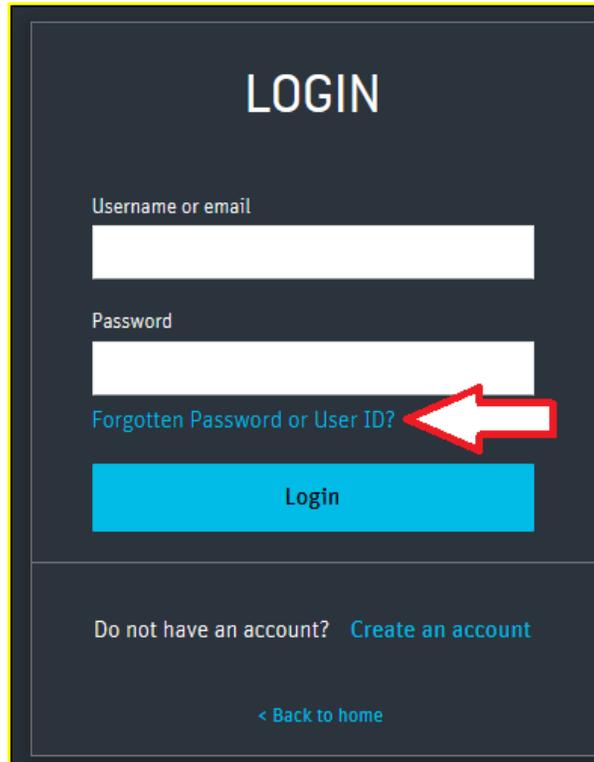
1. Review the [Guide](#) to the Compliance Audit Program for Individual Registrants
2. Log in to the individual audit portal by clicking the link below and using your six-digit User ID number and password. The audit portal is the main interface for conducting your compliance audit and you can check the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

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

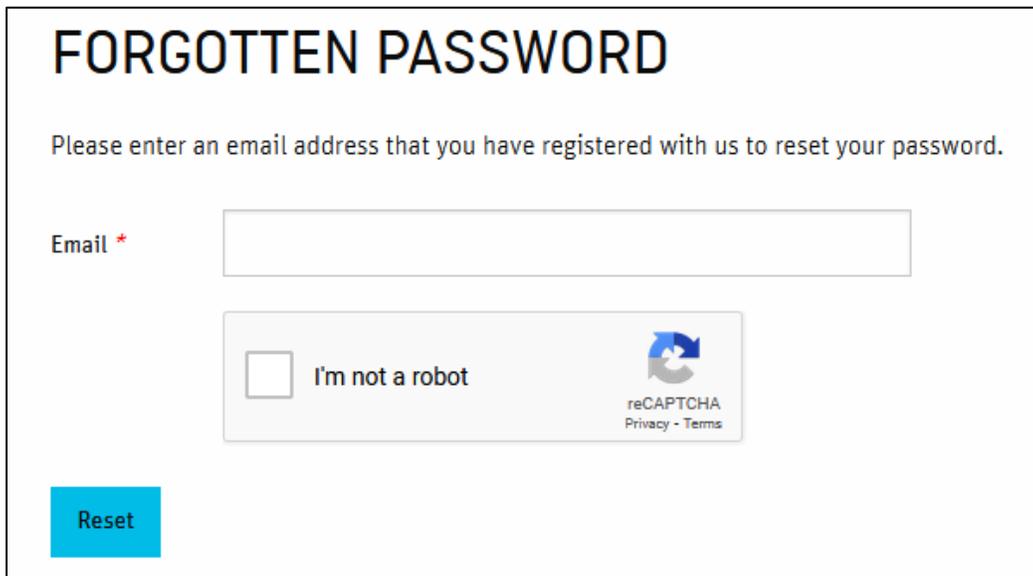
2. Enter your Engineers and Geoscientists BC six-digit user ID and password on the login screen.
3. Click the 'Login' button.



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:



The screenshot shows a dark-themed login form. At the top, the word "LOGIN" is displayed in white. Below it are two input fields: "Username or email" and "Password". A red arrow points to the text "Forgotten Password or User ID?" which is a link. Below the input fields is a blue "Login" button. At the bottom of the form, there is a link "Do not have an account? Create an account" and a link "< Back to home".



The screenshot shows a white-themed "FORGOTTEN PASSWORD" page. The title "FORGOTTEN PASSWORD" is at the top. Below it is the instruction: "Please enter an email address that you have registered with us to reset your password." There is an "Email" label with a red asterisk next to a text input field. Below the input field is a reCAPTCHA widget with the text "I'm not a robot" and a checkbox. To the right of the checkbox is the reCAPTCHA logo and the text "reCAPTCHA Privacy - Terms". At the bottom left of the form is a blue "Reset" button.

Audit Portal Main Page:

ENGINEERS & GEOSCIENTISTS
BRITISH COLUMBIA

SEARCH... Q LOGOUT

ACCOUNT REGISTRANT DIRECTORY CAREERS EVENTS NEWS CONTACT

REGISTRATION PRACTICE RESOURCES COMPLAINTS & DISCIPLINE CONTINUING EDUCATION ABOUT

HOME > INDIVIDUAL PRACTICE > AUDIT PORTAL > AUDIT SUMMARY

REGISTRANT AUDIT PORTAL

AUDIT SUMMARY

Audit Initiation Date: 6/28/2023
Audit Status: In Progress **Audit status**

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

TASKS **Actions required**

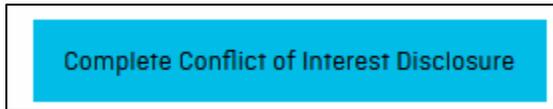
Requirement	Status	Due Date	Date Completed
Conflict of Interest Disclosure (Registrant)	Incomplete	7/19/2023	Complete Conflict of Interest Disclosure
Submit Required Information	Incomplete	7/19/2023	Upload Documentation

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.

REGISTRANT - CONFLICT-OF-INTEREST DISCLOSURE ×

i **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.

Individual Registrant Name and Designation: [Registrant name]
Practice Status: [Practising status]
User ID Number: [ID #]
License number: [License #]
Employer: [Employer name]
Assessor Name: [Assessor name and bio]

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.

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



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 individualaudits@egbc.ca).

[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. 



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.

SUBMIT REQUIRED INFORMATION ×

 As per the notification sent to your preferred email address, please complete the following actions by the due date in the email:

1. Download a copy of the questionnaire to your computer by clicking the blue link below:
 - **Download Questionnaire**
2. Fill out the questionnaire in either format as completely and with as much detail as possible. We estimate that the questionnaire will take you between 4-6 hours to complete.
3. Gather all required documents listed in the questionnaire. You can also find the complete list of required documents to upload on the last page of the questionnaire.
4. Once the questionnaire is completed and the required documents have been organized, upload the questionnaire by clicking the "Select files" button under the heading "Upload Questionnaire". After uploading the questionnaire, you can then upload all supporting documents by clicking the "Select files" button under the heading "Upload Supporting Documents". **Please note that all supporting documents must be uploaded at once; please do not upload any documents until you are ready to upload all of them.**
5. Once the questionnaire and supporting documents have been uploaded using the respective buttons, click the blue Submit button to complete your submission.

Confidentiality Notice: Records and information provided to the Audit and Practice Review Committee or to an Assessor during an Individual Registrant's compliance audit are confidential, per section 110[2] of the Act, and are protected from disclosure to anyone other than the Audit and Practice Review Committee, Assessors, Officers, and Engineers and Geoscientists BC staff in most cases.

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.

The screenshot displays the 'Upload Questionnaire' and 'Upload Supporting Documents' sections. Each section features a 'Select files...' button and a 'Drop files here to upload' area. The 'Upload Questionnaire' section shows a single file 'Test Questionnaire.docx' (13.25 KB) with a red arrow pointing to the 'Select files...' button. The 'Upload Supporting Documents' section shows two files: 'Test Upload PDF.pdf' (19.14 KB) and 'Test Upload Excel.xlsx' (8.10 KB), both with red arrows pointing to the 'Select files...' button. A blue 'Submit' button is located at the bottom left, with a red arrow pointing to it.

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.

TASKS			
Requirement	Status	Due Date	Date Completed
Conflict of Interest Disclosure (Registrant)	Complete	6/6/2023	5/16/2023
Submit Required Information	Complete	6/6/2023	5/16/2023
Interview Scheduling - Initial	Incomplete	5/23/2023	

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.

SELECT INTERVIEW DATE AND TIME

Interview Method: Virtual
Interview Location:
Interview Duration: 1 hour(s)

Please select one of the proposed interview dates/times:

Wednesday, 17 May 2023 12:00 AM

Thursday, 18 May 2023 12:00 AM

None of the above

Please provide comments and alternate interview date/time

I am available on

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			
Requirement	Status	Due Date	Date Completed
Audit Report	Issued	n/a	6/28/2023
Corrective Action Request - Documented Checking	Waiting for Submission	7/19/2023	
Opportunity for Improvement - Documented Independent Review of High-Risk 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.

Opportunity for Improvement - Documented Independent Review of High-Risk Professional Activities or Work	Waiting for Acknowledgement	7/19/2023		Acknowledge
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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.

DOCUMENTED INDEPENDENT REVIEW OF HIGH-RISK PROFESSIONAL ACTIVITIES OR WORK - OPPORTUNITY FOR IMPROVEMENT	
Findings: Testing	
Requirement: Testing	
<input checked="" type="checkbox"/> I acknowledge that I have read the information above.	
Submit	

5. Your Opportunities for Improvement status will update to 'Acknowledged'.

Opportunity for Improvement - Documented Independent Review of High-Risk Professional Activities or Work	Acknowledged	7/19/2023	6/28/2023	View
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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:

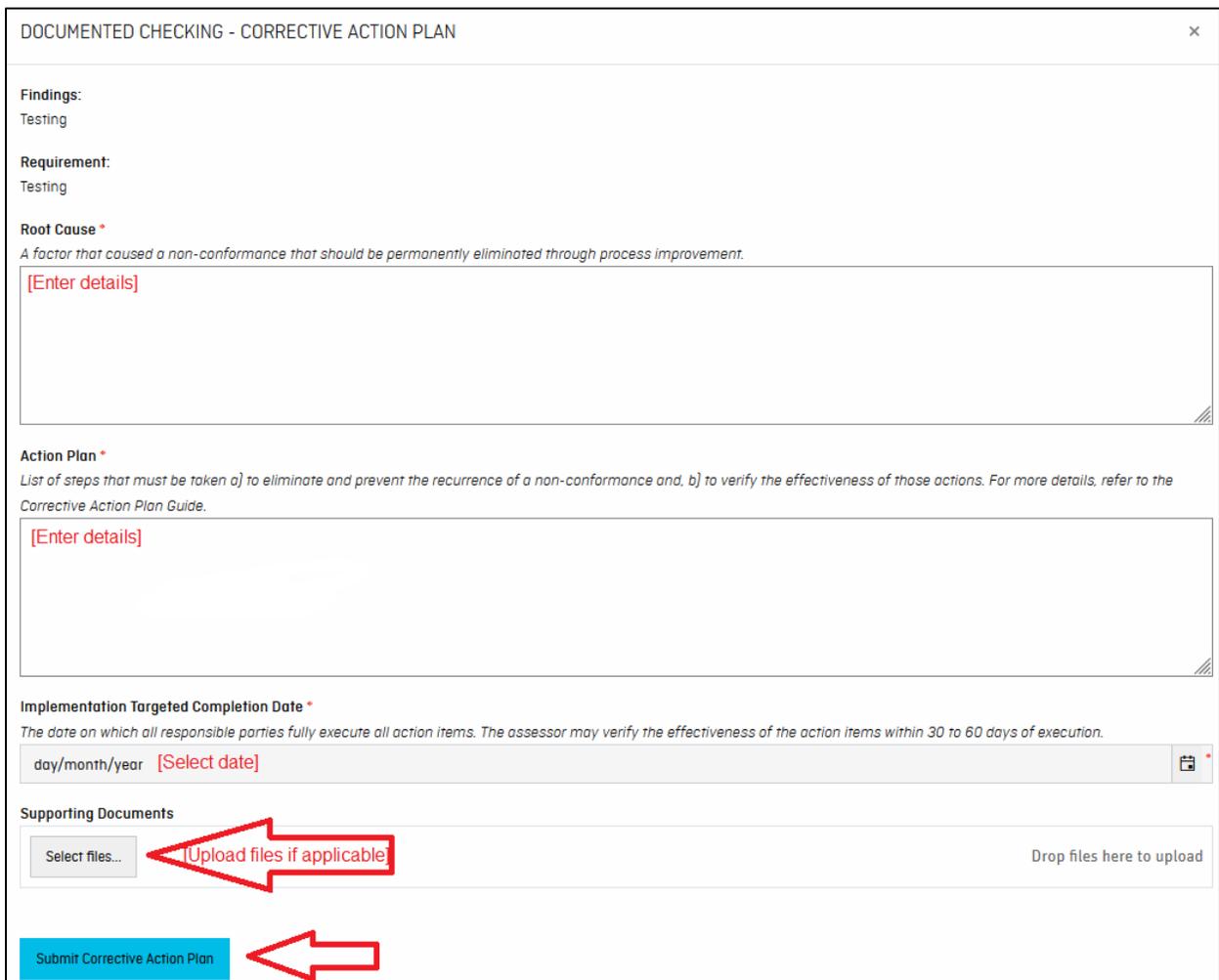
Note: Refer to the Corrective Action Guide for detailed instructions on how to draft a CAP.

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



Corrective Action Request - Documented Checking Waiting for Submission 7/19/2023  **Complete Corrective Action Plan**

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.



DOCUMENTED CHECKING - CORRECTIVE ACTION PLAN

Findings:
Testing

Requirement:
Testing

Root Cause *
A factor that caused a non-conformance that should be permanently eliminated through process improvement.
[Enter details]

Action Plan *
List of steps that must be taken a) to eliminate and prevent the recurrence of a non-conformance and, b) to verify the effectiveness of those actions. For more details, refer to the Corrective Action Plan Guide.
[Enter details]

Implementation Targeted Completion Date *
The date on which all responsible parties fully execute all action items. The assessor may verify the effectiveness of the action items within 30 to 60 days of execution.
day/month/year [Select date]

Supporting Documents
[Select files...]  [Upload files if applicable] Drop files here to upload

Submit Corrective Action Plan 

7. The Corrective Action Plan status will update to 'Submitted'.

Corrective Action Request - Authentication of Documents	Submitted	5/2/2023	5/17/2023	View
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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.

Corrective Action Request - Continuing Education and Competency	Accepted - Closed	5/21/2023	4/21/2023	View
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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.

Corrective Action Request - Direct Supervision	Rejected	5/23/2023	5/5/2023	Complete Corrective Action Plan
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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.

Major Non-conformance - Direct Supervision	Waiting for APRC Decision	7/19/2023	View
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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.

REGISTRANT AUDIT PORTAL

AUDIT SUMMARY

Audit Initiation Date: 6/26/2023
Audit Status: Closed