CHARTERED PROFESSIONAL ACCOUNTANTS BRITISH COLUMBIA

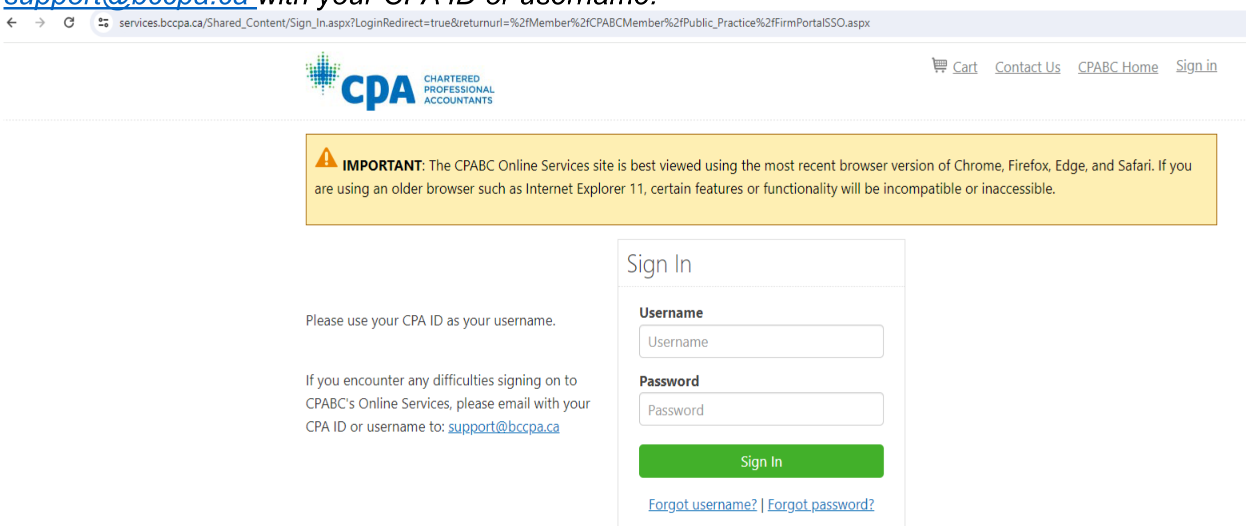
Chartered Professional Accountants of British Columbia
800-555 West Hastings Street Vancouver BC CANADA V6B 4N6
T. 604 872.7222 F. 604 681.1523 TF. 1 800 663.2677
www.bccpa.ca

PRACTICE REVIEW – FIRM PORTAL INSTRUCTIONS

Logging into the Portal

1. Navigate to the following URL: https://prs.bccpa.ca/firm-portal
2. Log in to your CPABC Online Services account with your username and password.

   If you encounter any difficulties signing into CPABC's Online Services, please email support@bccpa.ca with your CPA ID or username.



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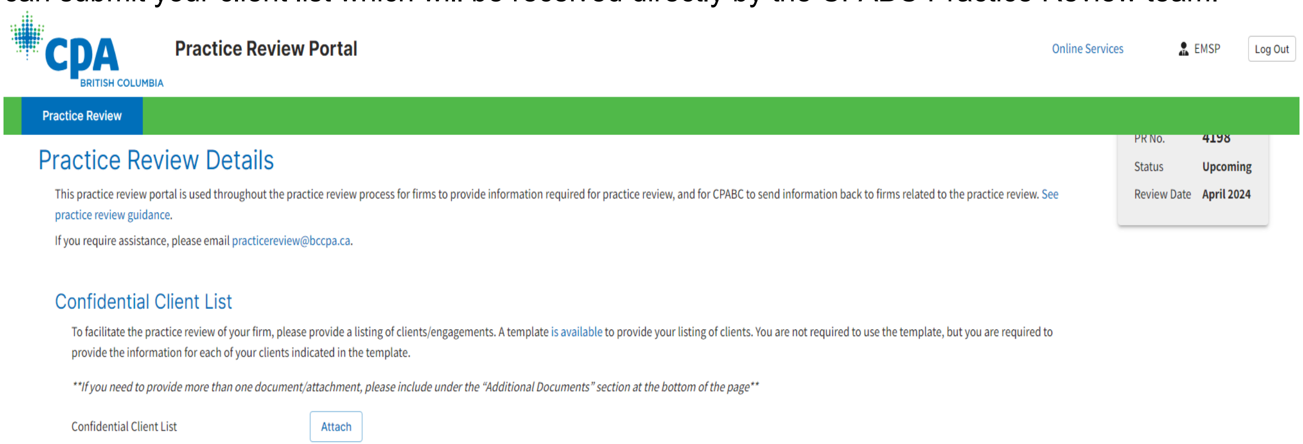
Client List Submission:

Upon successfully logging in (Step #2 above), you will be directed to the home screen where you can submit your client list which will be received directly by the CPABC Practice Review team.



1. Under the "**Confidential Client List**" section, click the "**Attach**" button.
2. Locate the saved client list file found on your computer and select it by clicking on the file name to upload.
    - If an incorrect file is selected, this can be removed by hovering over the document title and clicking the 'trash bin' icon, *prior* to submitting.
3. Click "**Submit**".

Client List Submission Notes:

- CPABC client list template can be found at the CPABC website – Practice Review *(Member & Practice Regulation / Public Practice / Practice Review)*
- File formats accepted: Word, Excel, and PDF (only).
    - Please ensure the list contains at minimum the following information:
        - Name of engagement partner/ authorized staff
        - Name of Client
        - Type of Engagement
        - Financial Reporting Framework
        - Industry/sector of client
        - Factors to note* are identified for assurance engagements
- For your client list submission, we are unable to receive multiple documents so please ensure your submission only consists of **one** document.
- There is no requirement to password protect your client list as the portal is secure.
- If you submit a document in error, please contact the Practice Review Team at practicereview@bccpa.ca to reset the submission process.

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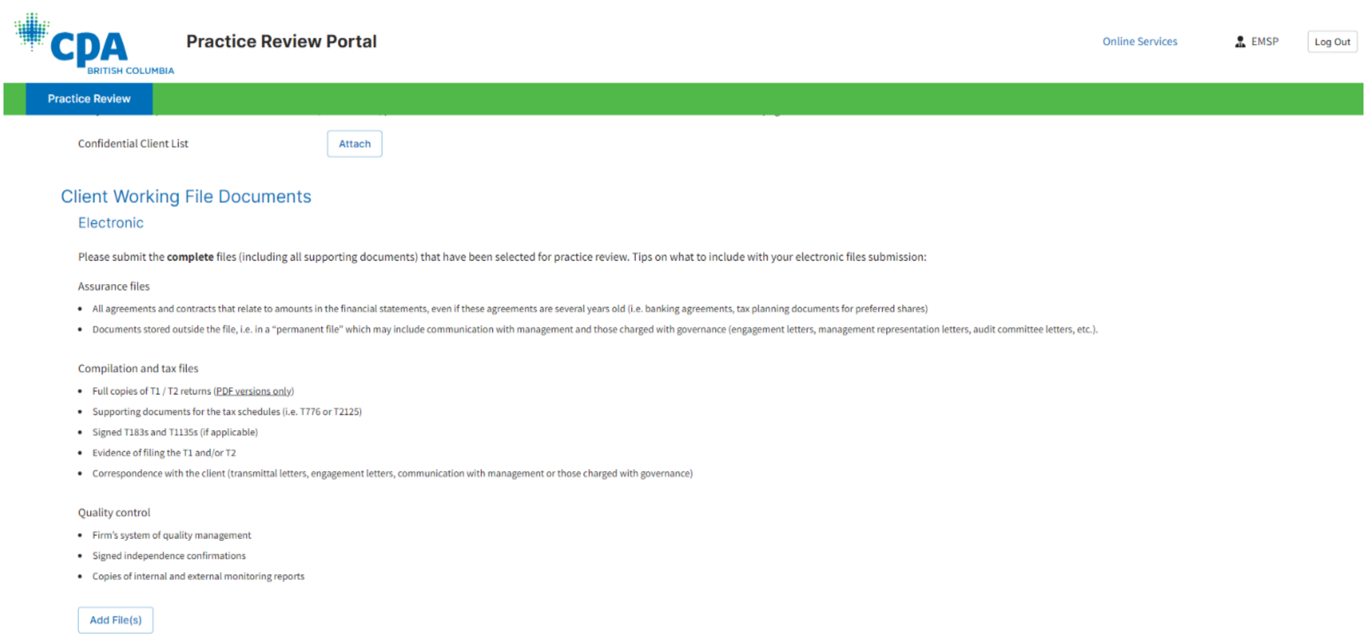
Inspection Files and System of Quality Management ("SOQM") Submission:

Your client files (as selected by your practice review officer) and SOQM will also be submitted through the Firm Portal under the "**Client Working File Documents**" section (*see screenshot below*):

1. Under the "**Client Working File Documents**" section, click the "**Attach File(s)**" button.
2. Locate the appropriate client file(s) on your computer and select it by clicking on the file name to upload.
    - If submitting a series of documents for a client (Word, PDF, Excel, etc.) please ensure to upload these documents together in zipped folders, **with 1 zipped folder per client**.
    - If you are submitting a Caseware file, please ensure the file is compressed.
    - If you are using Caseware Cloud, prior to submitting the file, you must go into the file and disable the security via Tools -> Protection -> "Turn Cloud Protection Off"
    - Files with the any of the following characters will be rejected: **" * : < > ? / \ | # %**
        i. If needed, it is safe to use both dashes (-) and underscores (_) in file names
    - Leading and trailing spaces in file or folder names are not allowed
    - There is a URL character limit of 255 characters
3. Click "**Submit**".

Screenshot below for reference:



Inspection Files Submission Notes:

Please submit **complete files (including final signed financial statements/financial information and all supporting documents)** for practice review.

If using CaseWare please provide a compressed/back up copy. If supporting documents etc are in a different format please use a ZIP folder for each client. *See some additional considerations to include with your electronic submission:*

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Assurance and Compilation Files:

- Final signed financial statements/ financial information
- Signed letters and other communication with management and those charged with governance
  - *Ie. engagement letters, representation letters, audit committee letters, etc.*
- All working papers and supporting documents, including checklists (if applicable)
  - *This should include all agreements and contracts that relate to amounts or disclosures in the financial statements/financial information, even if these agreements are several years old (i.e. banking/lender agreements, tax planning documents for preferred shares)*

Tax Files:

- Full copies of tax returns in **PDF Format** *(ie. T1/ T2 returns)*
- Supporting documents for the tax return
- Signed forms as applicable *(ie. T183s, T1135s, T1032s etc.)*
- Evidence of filing the tax return
- Correspondence with the client (transmittal letters, engagement letters, communication with management or those charged with governance)

System of Quality Management:

- Copy of the firm's System of Quality Management
- Signed staff independence confirmations
- Copies of the most recent annual and cyclical monitoring reports