



Interim Practice Directive 6:

Initial Request Submission Requirements

1. Purpose

This practice directive explains how a regulatory college (College) files an initial request with the Health Professions Discipline Tribunal (Discipline Tribunal) and how to prepare and format the request.

2. Authority

The Health Professions Discipline Tribunal (Discipline Tribunal) operates under the Health Professions and Occupations Act (HPOA). When this practice directive mentions a section number, it refers to a section in the HPOA, unless it says otherwise.

3. Scope and application

This practice directive applies to any request a College files to start a case at the Discipline Tribunal, including (for example): requests for citation, requests for approval of a consent resolution, and any other initial request the Discipline Tribunal accepts as complete for filing. Refer to Practice Directive 7: Request for Citation; Practice Directive 7a: Registrar's Proposal for Allegations in a Citation; Practice Directive 8: Combined Request for a Section 139 Consent Resolution and a Request for a Citation; Practice Directive 9: Consent Resolutions; and Practice Directive 10: Approval of Orders Resolving Sexual Abuse Cases, as applicable, for details on what documents must be filed as part of a request.

This practice directive applies only to the request. After the Discipline Tribunal accepts the request as complete for filing, later filing and service processes follow Practice Directive 1: Filing and Service.

The Discipline Tribunal may vary or dispense with a requirement in this practice directive.

4. Filing and formatting a request

4.1 Filing method

All requests must be submitted through the Discipline Tribunal's web portal, unless otherwise directed by the Discipline Tribunal.

If the request cannot be filed through the web portal due to file size or technical limits, contact the Discipline Tribunal for filing directions. If compression is required, file a .zip package unless the Discipline Tribunal directs otherwise.



4.2 Formatting the request

All requests must:

- for all written documents, be prepared in PDF format. Paper copies will not be accepted;
- be scanned at a minimum of 400 dpi;
- be unlocked, without password or other locking mechanism;
- be prepared with optical character (OCR or text) recognition so they are searchable;
- handwritten notes may not be responsive to OCR, but it is not necessary to transcribe them unless specifically requested;
- include any website links used in the investigation, active if possible (or include the full website address); and
- include any electronic material other than PDFs (for example, audio, video, or spreadsheets) in a format compatible with standard Microsoft Office software. The Discipline Tribunal will not accept CDs, DVDs, USB sticks, or other physical media.

If the College cannot meet a requirement in section 4.2 for a specific item:

- file the best available version and include a brief explanation with the request (for example, in the index or cover document); and
- the Discipline Tribunal may refuse to accept the request as complete for filing, or may give directions, including directions to re-file.

4.3 Organizing the request

The request must be in electronic format, legible, organized, and sequentially page numbered:

- legible: the reader must be able to make out the information in the request. It may be necessary to adjust the darkness of scanned records;
- organized: the request must be organized to reflect the flow of the investigation by organizing the documents chronologically, beginning with the complaint; and
- page numbered: page numbers must be placed in the top right of every page in the request.



If the College files the request in more than one PDF:

- place page numbers in the top right of every page in each PDF and ensure page numbering runs consecutively across the PDFs.

4.4 Index and bookmarks

The request must be accompanied by an index, which includes bookmarks.

Bookmarks must correspond directly to the index and be accompanied by a brief description including the date of the material.

If the College files the request in more than one PDF:

- include bookmarks in each PDF and ensure the index identifies which PDF contains each bookmarked document.

Bookmarked documents may include:

- A summary or overview of the investigation;
- A copy of the regulatory complaint and any material provided with the complaint;
- Investigations records including the final reports made by the investigators, notes and other documents or recordings made by the investigators;
- Reports, documents and witness statements produced or compiled during the investigation;
- Disciplinary records relating to the respondent;
- Non-compliance notices issued under section 133 of the HPOA;
- Orders made against the respondent during the investigation and reasons for the orders;
- Notices issued to a respondent under section 267(4) of the HPOA regarding a respondent's failure to comply in good faith with a restorative processes order;
- Notice of an investigation committee's competency assessment and the reasons for the assessment;
- Material and submissions provided to the College by the respondent, the complainant, a witness, or any other interested party;
- Decisions or orders made by the Health Professions Review Board after a timeliness review;



- Information or material in the College's possession regarding other proceedings dealing with the substance of the allegation of misconduct or incompetence; and
- Other material in the College's possession that is relevant to the complaint made against the respondent.

4.5 Confidential and public versions

If the request contains confidential information or other confidential material, the College must:

- file a confidential version for use in the proceeding; and
- file a proposed public version that removes or anonymizes confidential information and other confidential material, unless the College cannot reasonably create one.

Label the confidential version in accordance with Practice Directive 1: Filing and Service.

Mark the proposed public version in the filename and on the first page as "PROPOSED PUBLIC VERSION."

A confidential version may include narrow redactions only to comply with an order or statutory restriction.

Identify the reason for each redaction in the index or in a separate summary.

If an identity protection order applies, the College must ensure that any proposed public version complies with that order.

See Practice Directive 4: Privacy, Confidentiality and Disclosure of Records for guidance on access to records, as well as filing confidential and public versions of subsequent submissions (after the request).

4.6 Audio and video

If the College relies on a recording:

- file the recording electronically through the web portal or another method the Discipline Tribunal directs;
- file a transcript; and
- identify each recording and transcript in the index.



If the transcript cannot be filed with the request:

- file an explanation and file the transcript as soon as possible, as directed by the Discipline Tribunal.

5. Intake screening and missing items

The Discipline Tribunal checks whether the request meets the basic requirements in this practice directive.

If something is missing or unclear, the Discipline Tribunal may:

- refuse to accept the request and require the College to re-file a complete request; or
- accept the request and set a deadline to fix the defect.

The filing date is the date stated in the written confirmation of filing, after the Discipline Tribunal accepts the request as complete for filing.