

**Financial Services
Tribunal**

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COVID-19 Screening Survey

The Financial Services Tribunal (the “Tribunal”) has developed this COVID – 19 Screening Survey (the “Survey”) to screen hearing participants to determine their eligibility to attend hearings in-person at the Tribunal’s offices.¹ The Tribunal has also developed a screening/re-screening questionnaire (the “Questionnaire”) for use by the Registrar, following submission of the Survey, to screen/re-screen in-person participants on the days such participants attend the hearing.

Both this Survey and the Questionnaire are based on advice, recommendations and instructions issued by the Office of the Chief Medical Officer of Health in accordance with [O. Reg. 364/20, as amended by O. Reg. 645/21: Rules for Areas at Step 3](#) made under the [Reopening Ontario \(A Flexible Response to COVID-19\) Act, 2020](#) (ROA). The Survey and Questionnaire are subject to change based upon future provincial, municipal or public health guidelines or requirements and Tribunal orders.

Neither this Survey nor the Questionnaire are to be used as a clinical assessment tool or intended to take the place of medical advice, diagnosis, treatment, or legal advice. In the event of any conflict between this document and any applicable legislation, order or directive issued by the Minister of Health or the Chief Medical Officer of Health or the Tribunal, the legislation, order or directive prevails.

This Survey and the Questionnaire must be completed and filed with the Registrar² by all participants in a proceeding (including panel members, parties, witnesses, and legal counsel) in advance of any in-person attendance at the Tribunal’s offices, unless otherwise ordered by the Tribunal. The results of the Survey/Questionnaire will be used by the Tribunal to determine whether a participant will be eligible to attend in-person at the Tribunal’s offices in connection with the proceeding.

Anyone who does not complete and file the Survey/Questionnaire with the Registrar as required will not be eligible to enter the Tribunal’s offices. Anyone who completes and files the Survey/Questionnaire may be eligible to attend the Tribunal’s offices as determined by the Tribunal or the Registrar based on the answers to the Survey/Questionnaire.

Participants seeking in-person attendance at the Tribunal offices must first complete and file this Survey in advance of the hearing in accordance with directions from the Tribunal or the Registrar. If determined eligible to attend in-person based on the Survey, the participant will be asked to screen/re-screen by completing/confirming the Questionnaire at the start of each day of their in-person attendance before entering the Tribunal’s offices.

The Ontario Office of the Chief Medical Officer of Health recommends individuals with COVID-19 like symptoms self-isolate, ideally at home, and call their health care provider or Telehealth Ontario ([1-866-797-0000](tel:1-866-797-0000)) for advice or an assessment, including whether they need a COVID-19 test.

¹ Note – The determination of hearing format (in-person, electronic or written or some combination) is made by order of the Tribunal during the pre-hearing process in accordance with the Tribunal’s Rules and Practice Directions.

² Note - screening is not required for emergency services or other first responders entering a business or organization for emergency purposes.

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A. Required Screening Questions

1. Are you currently experiencing **one or more** of the symptoms below that are new or worsening? These questions are not related to chronic conditions or symptoms related to other known causes or conditions.

<p>Do you have <u>one or more</u> of the following symptoms?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Fever and/or chills</p>	<p>Temperature of 37.8°C / 100°F or higher</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Cough or barking cough (croup)</p>	<p>Not related to asthma, post-infectious reactive airways, COPD, or other know causes or conditions you already have</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Shortness of breath</p>	<p>Not related to asthma or other known causes or conditions you already have</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Decrease or loss of smell or taste</p>	<p>Not related to seasonal allergies, neurological disorders, or other known causes or conditions you already have</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>(For adults age 18 years or over) Fatigue, lethargy, malaise and/or myalgia</p>	<p>If you <u>have not</u> received a COVID-19 vaccination in the last 72 hours and are experiencing unusual tiredness, lack of energy (not related to depression, insomnia, thyroid dysfunction, to other know causes or conditions you already have) muscle pains, aches, and pain associated with ligaments, tendons, and the soft tissues that connect bones, organs, and muscles your answer for this item should be "Yes"</p> <p>If you <u>have</u> received a COVID-19 vaccination in the last 72 hours and are experiencing mild fatigue that only began after vaccination, but not the unusual symptoms referred to in the questions above, your answer for this item should be "No".</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>(For children under age 18 years) Nausea, vomiting and/or diarrhea</p>	<p>Not related to irritable bowel syndrome, anxiety, menstrual cramps, or other known causes or conditions you already have</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>

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2. In the last 14 days, have you travelled outside of Canada AND been advised to quarantine (as per the federal quarantine requirements)?

Yes No

3. Has a doctor, health care provider, or public health unit told you that you should currently be isolating (staying at home)? This can be because of an outbreak or contact tracing.

Yes No

4. In the last 10 days, have you been in in close contact with someone who currently has COVID-19?

If public health has advised you that you do not need to self-isolate (e.g., you are “fully immunized”³ or have tested positive for COVID-19 in the last 90 days and since been cleared), select “No.”

Yes No

If you have already gone for a test in response to the Alert and got a negative result, select "No."

If you are fully immunized or have tested positive for COVID-19 in the last 90 days and since been cleared, select "No."

Yes No

5. In the last 10 days, have you tested positive on a rapid antigen test or a home- based self-testing kit?

If you have since tested negative on a lab-based PCR test, select “No.”

Yes No

6. In the last 14 days, has someone in your household (someone you live with) travelled outside of Canada AND been advised to quarantine (as per the federal quarantine requirements)?

If you are fully immunized or have tested positive for COVID-19 in the last 90 days and since been cleared, select “No.”

Yes No

³ An individual qualifies as fully immunized upon having received their second dose of a two-dose COVID-19 vaccine series or their first dose of a one-dose COVID-19 vaccine series (e.g., Johnson and Johnson) more than 14 days previously.

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7. In the last 10 days, has someone you live with been identified as a “close contact” of someone who currently has COVID-19 AND advised by a doctor, healthcare provider or public health unit to self-isolate?

If you are fully immunized or have tested positive for COVID-19 in the last 90 days and since been cleared, select “No.”

Yes No

8. Is anyone you live with currently experiencing any new COVID-19 symptoms and/or waiting for test results after experiencing symptoms?

If the individual experiencing symptoms received a COVID-19 vaccination in the last 48 hours and is experiencing mild fatigue, muscle aches, and/or joint pain that only began after vaccination, select “No.”

If you are fully immunized or have tested positive for COVID-19 in the last 90 days and since been cleared, select “No.”

Yes No

9. Are you fully immunized?

If you are fully immunized, select “Yes”. If not, select “No”. If you are unwilling to respond select “Unwilling to Respond”.

Yes No Unwilling to Respond

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B. Results of Screening Questions

1. Eligible to Attend In-Person at the Tribunal Offices

- a. If the participant answers **“NO” to all questions from 1 through 8 and “YES” to question 9**, then subject to the orders of the Tribunal, the results of any re-screening, and compliance with the following requirements, the participant will be eligible to attend in-person at the Tribunal’s offices on the dates scheduled by the Tribunal for such attendance. The participant must file with the Registrar acceptable proof of full immunization in accordance with Ministry of Health guidance⁴ prior to the participant’s attendance and present to the Registrar government-issued photo identification upon entering the Tribunal’s offices. While present in the Tribunal offices, the participant must continue to follow all public health measures, including masking, maintaining physical distance and hand hygiene, where applicable, and as directed by the Registrar or the Tribunal.
- b. If the participant answers **“NO” to all questions from 1 through 8 and either “NO” or “Unwilling to Respond” to question 9**, then subject to the orders of the Tribunal and the results of any re-screening, the participant will only be eligible to attend in-person at the Tribunal’s offices on the dates scheduled by the Tribunal for such attendance, if
 - i. the participant files with the Registrar, prior to the participant’s attendance, acceptable written confirmation completed and supplied by a physician or a registered nurse in the extended class⁵ that sets out, in accordance with the Ministry of Health’s guidance⁶, a documented medical reason for not being fully immunized and the effective time period for the medical reason; and
 - ii. the Tribunal determines, following consultation with all parties and other in-person participants, that it is reasonable to permit such attendance; and
 - iii. the participant presents to the Registrar government-issued photo identification upon entering the Tribunal’s offices; and
 - iv. while present in the Tribunal offices, the participant continues to follow all public health measures, including masking, maintaining physical distance and hand hygiene, as directed by the Registrar or the Tribunal; and
 - v. the participant provides evidence of a negative COVID-19 test result and is determined to be eligible under paragraph 3 below.

⁴https://www.health.gov.on.ca/en/pro/programs/publichealth/coronavirus/docs/guidance_proof_of_vaccination_for_businesses_and_organizations.pdf

⁵ The Extended Class is for registered nurses who have additional education and clinical experience that allows them to practise as Nurse Practitioners.

⁶ See footnote 3

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2. Ineligible to Attend In-Person at the Tribunal Offices

- a. If the participant fails to complete and file the Survey/Questionnaire with the Registrar or answers **“YES” to any questions from 1 through 8**, then, subject to paragraph 3 below, the participant, even if fully vaccinated, **will not be eligible** to attend in-person at the Tribunal's offices. The Ontario Office of the Chief Medical Officer of Health recommends that participants who have answered **“YES” to any questions from 1 through 8** go home to self-isolate immediately and contact their health care provider or Telehealth Ontario ([1-866-797-0000](tel:1-866-797-0000)) to get advice or an assessment, including whether they need a COVID-19 test.
- b. A participant described above in clause a. may attend in-person at the Tribunal's offices if such participant is determined to be eligible for attendance under paragraph 3 below.

3. Negative COVID-19 Test – Any participant who is not otherwise eligible to attend the Tribunal's offices in-person under paragraphs 1 or 2 above, may be considered by the Tribunal for such eligibility if, after completion and submission of the Survey to the Registrar and re-screening through the Questionnaire on the day of their desired in-person attendance, such participant provides the Registrar with suitable written evidence of a negative COVID-19 test taken within the previous 72 hours, or within such other period as the Tribunal considers acceptable in the circumstances.

4. Attendance Day Screening/Re-Screening – The Registrar will email a copy of the Questionnaire to all in-person participants on the day prior to the first day of their attendance at the Tribunal's offices. In-person participants must complete and sign the Questionnaire and return it to the Registrar by reply email on the morning of their attendance, unless other acceptable arrangements are made with the Registrar. For consecutive multiple day hearings, at the end of each day the Registrar will email in-person participants a request to confirm that the Questionnaire they submitted on the first day remains accurate and unchanged. This confirmation must be emailed to the Registrar by the participant on the day of the subsequent attendance prior to arrival at the Tribunal's offices. If such confirmation is not received by the Registrar, the participant will be asked to provide the confirmation or complete a new Questionnaire upon arrival at the Tribunal's offices. The Registrar will inform the Tribunal of any non-compliance with these requirements or if the participant appears to be ineligible for in-person attendance as a result of their Questionnaire answers. The Tribunal will then determine next steps.

In addition to the above, upon arrival at the Tribunal's offices on each day, in-person participants shall present their government-issued photo identification to the Registrar and confirm the Registrar's receipt of their completed and signed Questionnaire/email confirmation, as applicable. The Registrars and Tribunal members in attendance will also be required to complete and submit the Questionnaire/email confirmations, as applicable, on a daily basis. The Registrars' Questionnaire/email confirmations will be submitted to the Tribunal panel chair.

5. Changing Circumstances - If any of the answers to the Survey/Questionnaire change during the day, the Survey/Questionnaire results are no longer valid and the participant may need to re-screen again as the Tribunal determines necessary – see above.

6. Electronic Attendance at the Tribunal's Offices Permitted - Any participant who is not eligible to attend in-person at the Tribunal's offices may attend electronically in accordance with the orders of

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the Tribunal and the instructions of the Registrar applicable to their proceeding and as provided in the Tribunal's rules, practice directions and guidelines.

- 7. **Confidential Record** - Any record created as part of participant screening will be kept confidential and may only be disclosed as required by law.

C. Resources

[COVID-19 \(coronavirus\) in Ontario](#) webpage (find a testing location, check your results, how to stop the spread of the virus.

I HEREBY CONFIRM MY UNDERSTANDING OF THE ABOVE REQUIREMENTS AND INFORMATION AND FURTHER CONFIRM THAT THE ABOVE ANSWERS IN THIS SURVEY ARE TRUE AND CORRECT AS AT THE DATE WRITTEN BELOW.

Date - _____

Name of Participant (print) - _____

Signature of Participant - _____

Participant's Phone Number - _____