

## DISPOSITION ON INTAKE:

**159** directed to informal resolution

**388** directed to investigation

**199** dismissed\*

\*Due to no or insufficient evidence of professional misconduct



## BY THE NUMBERS

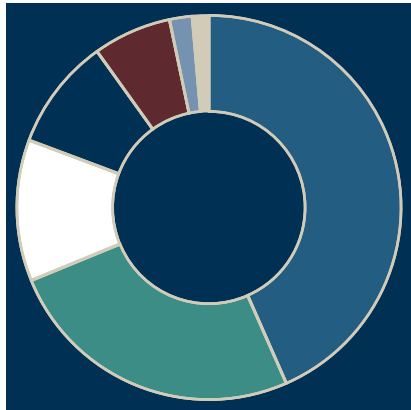
# Complaints Investigation and Resolution

Complaints received	2015	2014	Variance
Complaint files open as of Jan 1	248	225	+10.2%
New complaints received Jan 1 – Dec 31	746	677	+10.2%
Complaint files closed	683	654	-4.4%
Complaint files still open as of Dec 31	311	248	+25.4%
Total physicians receiving a complaint	623	591	+5.4%

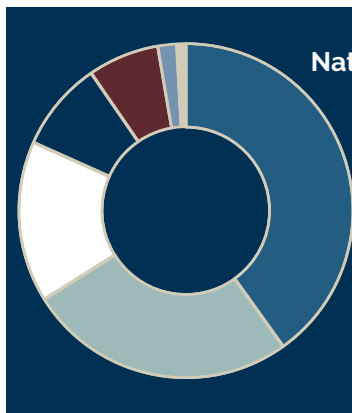
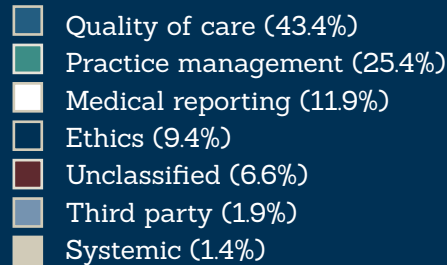
Disposition of complaints on intake*	2015		2014	
	Number	% of Total	Number	% of Total
Directed to Informal Resolution	159	21.3%	186	27.5%
Directed to Investigation	388	52.0%	266	39.3%
Dismissed**	199	26.7%	225	33.2%

\*How the College dealt with the complaint when first received. Disposition may change as more information becomes available.

\*\*Dismissed due to no or insufficient evidence of unprofessional conduct.



### Natures of Complaints Received - 2015



### Natures of Complaints Received - 2014



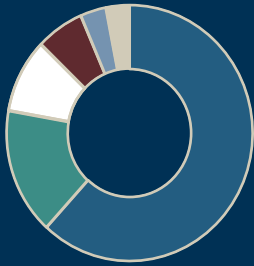
### A single complaint may include multiple natures:

1. **Quality of care** - Diagnosis (incorrect or delayed), treatment (prescribing, procedural and counselling, referral/consultations, follow-up).
2. **Practice management** - Physician availability, office management including finance and communication.
3. **Medical reporting** - Release of records, report completion and accuracy.
4. **Ethics** - Confidentiality, informed consent, advertising/self-promotion, research-related and boundary violations (including sexual, financial and others).
5. **Third party** - Independent Medical Examination (Workers' Compensation Board and non-Workers' Compensation Board, all others).
6. **Systemic** - Access to human resources and technology, continuity of care and interdisciplinary issues.
7. **Unclassified** - All others.

# 2015

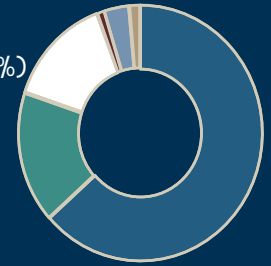
## Sources of Complaints Received

# 2014



(61.8%) - Patient<sup>1</sup>  
 (16.0%) - Family member of patient  
 (9.4%) - Complaints Director<sup>2</sup>  
 (6.3%) - Third party<sup>3</sup>  
 (3.4%) - Lawyer  
 (3.1%) - Other physician

Patient<sup>1</sup> - (63.8%)  
 Family member of patient - (16.8%)  
 Complaints Director<sup>2</sup> - (14.2%)  
 Third party - (0.3%)<sup>3</sup>  
 Lawyer - (3.4%)  
 Other physician - (1.5%)



1. Patient may refer to guardian. | 2. Complaints Director may open a complaint file if there are reasonable grounds to believe a member has acted unprofessionally even if no written complaint has been received. | 3. Third party may refer to government agency, Workers' Compensation Board, other health care provider, pharmacist, employer, friend, etc.

## DISCIPLINARY HEARINGS

	2015	2014
Hearing Tribunals convened	9	1
Hearing decisions*	1 <sup>1</sup> , 1 <sup>2</sup> , 1 <sup>3</sup>	0
Decision pending	2	0
Ongoing (continuation of proceedings)	4	1

\*May relate to hearings conducted in a prior year.

**Outcomes:** 1. Guilty, struck from register. | 2. Guilty, appeal to Council pending. | 3. Not guilty, appeal to Council pending.

### Members assessed under section 118 of the Health Professions Act (incapacity)

	2015	2014
Files opened	0	0
Assessments completed	0	0

## APPEALS

	2015	2014
<b>By complainant</b> (dismissed complaints)	55	54
• To Complaint Review Committee (CRC)	50 <sup>1</sup> , 2 <sup>2</sup> , 2 <sup>3</sup> , 1 <sup>4</sup>	52 <sup>1</sup> , 2 <sup>2</sup>
• To Alberta Ombudsman	2 <sup>1</sup> , 5 <sup>3</sup> , 1 <sup>5</sup>	1 <sup>3</sup>
<b>By Complaints Director</b> (appeal to Council)	1	0
<b>By physician</b> (appeal to Council)	1	0
<b>By physician</b> (appeal to courts)	0	0

**Outcomes:** 1. Decision upheld. | 2. Decision pending. | 3. Investigation ongoing. | 4. Withdrawn by complainant. | 5. Ombudsman recommendation completed by CRC.