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**ANNUAL**

**REPORT**

**1995**

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**Alberta  
College  
of  
Optometrists**

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***MISSION STATEMENT***

***The mission of the Alberta College of Optometrists is to ensure that the practice and the promotion of Optometry is conducted in the best interests of the public through the exercise of the regulatory powers granted to the College in the Optometry Profession Act, the Regulations and the By-laws.***

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## **1995 - 1996 COUNCIL**

### **Executive Members:**

**Dr. G. Lyn Graham, Chairman  
Edmonton**

**Dr. Richard E. McCormack, Vice-Chairman  
Edmonton**

**Dr. Shawn P. Rooney, Secretary-Treasurer  
Edmonton**

### **Members of Council:**

**Dr. Robert B. Erlandson  
Lethbridge**

**Dr. Mona Purba  
Calgary**

**Dr. Cindy K. Kruschel  
Okotoks**

### **Public Members:**

**Dr. Don Hauck  
Wainwright**

**Mr. Gary Kropp  
Edmonton**

### **Registrar:**

**Dr. Al A. Starko  
Edmonton**

## **Chairman's Report**

The Government of Alberta has instituted significant changes in the delivery of health care to citizens over the course of the past year. Keeping in mind that the primary objective of the Alberta College of Optometrists (ACO) is to ensure the safety and completeness of eyecare delivery by optometrists to Albertans, the ACO has spent much of this year responding to these changes.

Early in the year the ACO was asked to present a second modified "Therapeutic Pharmaceutical Agents" ("TPA") proposal to the Eye Care Disciplines Advisory Committee (ECDAC). The Minister of Health asked the ACO to reconsider its decision and provide a representative to ECDAC to hear a request by the Alberta Optician's Association that would allow its members to perform "simple sight testing". The ACO sent a representative and ECDAC chose to table the optician's motion until more information was collected.

Alberta Health invited the ACO to present its alternate TPA proposal to an expanded group of stakeholders. The stakeholders included the College of Physicians and Surgeons of Alberta, The Expert Committee on Drug Quality and Therapeutics, the Alberta Pharmaceutical Association, and the Alberta Opticians Association. Each of these organizations were invited to review the alternate proposal and comment on its feasibility and to obtain input and ask questions of the ACO where necessary. The final outcome of our presentation in 1995 resulted in Alberta Health requesting additional information. Later in the year the Minister of Health invited the ACO to chair two multi-disciplinary committees to investigate the prescribing of topical medications by optometrists to treat anterior segment disorders.

The ACO was also invited to attend a round table discussion hosted by the Health Workforce Rebalancing Committee (HWRC). The HWRC had received feedback from the first discussion paper and was seeking further clarification on a number of matters from various health care disciplines before writing a final report. As a result of the meeting, the ACO drafted a second response reiterating its primary concern about potential problems regarding freedom of association.

The ACO has worked, and continues to work, closely with Alberta Health officials. Several cases of inappropriate billing to the Alberta Health Care Insurance Plan were investigated and brought before the College's Discipline Committee. Alberta Health co-operated with the ACO throughout the investigatory stages in these cases.

The ACO has also been involved in discussions with Alberta Health regarding the portability of licenses across provincial boundaries and the uniformity of registration procedures throughout the country. Communication and liaison remains ongoing at the time of preparation of this report.

We revised our By-laws, introduced an up-to-date Code of Ethics and brought forward reasonable guidelines concerning advertising by our members. This continual review and updating standards of practice can only improve the level of care optometrists provide to the people of Alberta

The ACO has had a very busy 1995. Without the dedication and support of the members of the ACO Council, various Committee Chairmen, the ACO's Registrar, Dr. Al Starko, and the Executive Secretary, Ms. Bonnie Werner, all this work would not have been done as well as it was. I wish to extend my appreciation for the efforts these individuals put forward on behalf of all Albertans as well as our members.

G. Lyn Graham, O.D.

# Registrar's Report

## [a] Membership Statistics

- [i] Active Members 241  
(Male - 194; Female - 47)
- [ii] Non-Active Members 47  
(Male - 32; Female - 15)

## [b] Grievance

The Grievance Committee will be reporting elsewhere in this report. The Registrar's office in Edmonton handled several minor grievances which were all resolved via mediation procedures.

## [c] Summary of Formal Complaints

1. 3 members were found guilty of unprofessional conduct for failing to meet their continuing education requirements for the three year period ending December 31st, 1993. The fines imposed by the Discipline Committee upon the 3 members were appealed to the ACO Council in 1995. The ACO Council upheld the charges and fines in two cases and reduced the fine in the third case. One case was not carried forward to discipline.
2. Investigation of a complaint concerning an optometrist's professional skills carried forward into 1996.
3. A complaint carried over from 1994 was investigated in 1995. The outcome of the preliminary investigation did not substantiate the original complaint and, after an in depth review, the file was closed.

4. After a preliminary investigation was conducted, a complaint of inappropriate billing to the Alberta Health Care Insurance Plan was referred to the Discipline Committee. The Discipline Committee held a formal hearing and the practitioner was found guilty of unprofessional conduct in the matter of poor recordkeeping and inappropriate billing practices. A fine was imposed regarding this contravention of the Optometry Profession Act.
5. The Practice Review Board reviewed the billings practices of four individual optometrists. The Practice Review Board reviews resulted in the following actions:
  - [i] A preliminary investigation was conducted and the matter was referred to the Discipline Committee for a hearing. The Discipline Committee found the member not guilty of the original charges and the file was closed.
  - [ii] A second preliminary investigation was conducted and the matter was referred to the Discipline Committee for a hearing. The hearing is scheduled for early 1996.
  - [iii] A third preliminary investigation was conducted and the matter was referred to the Discipline Committee for a hearing. A Discipline Committee Hearing is scheduled for early 1996.
  - [iv] The last case involving inappropriate billing practices is in the final stages of preliminary investigation.

Al A. Starko, O.D.



## **Discipline Committee**

**Division Director:** Dr. Robert B. Erlandson

**Committee Members:** Dr. Neil N. Starko, Co-Chairman  
Dr. Dennis A. Heimdahl, Co-Chairman  
Dr. Margaret M. Penny  
Dr. Frances J. Tatebe

**Public Member:** Mr. David R. Stewart

As directed by the Registrar of the Alberta College of Optometrists, the Discipline Committee conducted two public hearings in 1995.

The hearings were held as a result of preliminary investigations which resulted in referral to the Discipline Committee. One member was found not guilty as charged and the case was closed. A second member was found guilty of unprofessional conduct respecting poor recordkeeping and inappropriate AHCIP billing practices. The Discipline Committee decision resulted in the member being fined and required to pay the costs of the hearing.

A third case referred to the Discipline Committee will be heard in early 1996.

Dennis A. Heimdahl, O.D.  
and  
Neil N. Starko, O.D.  
Co-Chairmen

## **Practice Review Board**

**Division Director:** Dr. Robert B. Erlandson

**Chairman:** Dr. Dennis N. Twerdun

**Members:** Dr. Gordon Hensel  
Dr. Rod A. Huszar  
Dr. David D. Koopman  
Dr. Alan W. Jones  
Dr. Gene A. Edworthy  
Dr. Charles W. Klettke  
Dr. Brian G. Kelly  
Dr. Richard A. Paziuk  
Dr. Sindy A. Tromposch

**Public Member:** Mr. David Kerr

The second round of practice reviews are proceeding on schedule for all practitioners in the province. A five year rotation was implemented in 1994 and each practitioner will be reviewed once every five years. All new graduates will be reviewed after they have been in practice for a twelve month period.

The Practice Review Board reviewed AHCIP billing practices of four optometrists in 1995. Resultant PRB reports were prepared and submitted to the Registrar.

All reviews are structured to incorporate practice assessment (as well as a review of billing procedures) and facilities assessment. A prepared format was developed by the PRB and approved by the ACO Council.

Dennis N. Twerdun, O.D.  
Chairman

## **Ethics Committee**

Division Director: Dr. Richard E. McCormack

Chairman: Dr. Dennis A. Heimdahl

Members:  
Dr. Doug Burns  
Dr. Ken W. Gellatly  
Dr. Steven W. Krein  
Dr. Dennis A. Heimdahl

The Ethics Committee once again assisted members with their inquiries concerning media advertising, signage, Yellow Page listings, and approval for tradename usage. Several opinions concerning advertising practices by individual optometrists were also provided to the ACO Registrar.

New advertising guidelines and a revised Code of Ethics were produced for presentation to the membership at the October Annual General Meeting. These guidelines were reviewed at that time and input was provided by members. New guidelines will be circulated following acceptance by members in attendance at a Special Meeting scheduled for January, 1996 in Red Deer.

Dennis A. Heimdahl, O.D.  
Chairman

# Grievance Committee

## Red Deer North

From January 1st, 1995 to December 31st, 1995 a total of 38 grievances were handled through my office. More than half of the grievances were resolved to some extent. The most common complaint had to do with patients not seeing properly with the new spectacles prescribed. These instances were usually resolved by having the patient return to the optometrist for a recheck. In some cases a refund was provided to the patient.

The second most common complaint dealt with patients being billed for follow-up exams. Many patients felt they should not be billed because they had paid for the initial exam. An explanation was provided regarding AHCIP policy.

Several complaints were not resolvable and these were referred to the Registrar to follow-up.

Barry C. Nolt, O.D.  
Chairman

## Calgary and Area

During 1995 I received 20 complaints or queries regarding Calgary area optometrists. These queries are broken down as follows:

Contact lens fee related:	8
Spectacle prescription problems:	5
Unprofessional treatment:	3
Billing Procedures:	2
Misdiagnosis:	2

19 complaints were successfully mediated or resolved by providing the patient with additional information. 1 complaint of misdiagnosis was referred to discipline and the matter is currently under investigation.

Wayne Klettke, O.D.  
Chairman

## Medicine Hat/Lethbridge

Over the past year there have been some 10 calls directed to me as Grievance Chairman for the Medicine Hat/Lethbridge area. The majority of these inquiries were from individuals who were looking for more information or a second opinion. Three of the calls fell into the category of complaints.

One gentleman was unhappy with his vision with his new spectacles. The optometrist involved modified the prescription with no success. This gentleman sought an ophthalmologist's opinion and returned with another prescription which the optometrist provided, again at no charge. When he was still having problems, a local optician assured him that if he had made the lenses, he wouldn't be experiencing problems. The optometrist arranged for the optician to remake the lenses and the bill was to be sent to the optometrist.

A second patient wanted her daughter's latest spectacle prescription. However, there was still an outstanding account balance remaining at the optometrist's office. When the optometrist realized the special circumstances regarding this request, he was more than willing to accommodate the request.

A third complaint related to a patient being unable to adapt to her new bifocal lenses. She was a high myope and regular contact lens wearer. After numerous office visits and attempts to satisfy the patient's complaints, it became obvious to both parties that this was not going to be possible. The optometrist modified his fees and the patient accepted this mediation.

This year, as in the past, I received a great deal of co-operation from the optometrists involved. Complaints were handled quickly and efficiently once the optometrists were made aware of their patients' concerns. My thanks are extended to the practitioners I dealt with in 1995.

Doug Howes, O.D.  
Chairman

## **Registration Committee**

**Division Director:** Dr. Mona Purba

**Chairman:** Dr. Laurie L. Newman

**Members:** Dr. Robert A. DeMara  
Dr. Donald B. Martin  
Dr. Cindy K. Kruschel

A total of 15 candidates wrote the National Registration Exams in June, 1995 administered by the Canadian Examiners in Optometry. All 15 successfully challenged the entire examination process and are eligible to apply for a license to practice Optometry in Alberta.

**Laurie L. Newman, O.D.  
Chairperson**

## **Universities Co-ordinating Council**

The Universities Co-ordinating Council (UCC) consisted of the following members:

Dr. Benjamin Doz, ACO Representative  
Dr. Donald R. LeDrew, ACO Representative  
Dr. Al A. Starko, ACO Registrar  
Dr. John Kuspira, Academic Representative  
Mr. Larry Henderson, Government personnel

The UCC conducted a review of the academic credentials submitted by applicants wishing to write the National Examinations in June of 1995. Fifteen applications were approved and applicants were subsequently granted a Certificate of Approval to sit the Canadian Examiners in Optometry and ACO Jurisprudence Examinations.

**Benjamin Doz, O.D.  
ACO Representative**

**FINANCIAL STATEMENT**

**- to December 31st, 1995**

**Prepared by**

**Gardiner, Karbani, Audy & Partners**



# ALBERTA COLLEGE OF OPTOMETRISTS

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# Gardiner Karbani Audy + Partners



Chartered Accountants

Edmonton, Alberta

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## AUDITORS' REPORT

To the Members of Alberta College of Optometrists:

We have audited the balance sheet of Alberta College of Optometrists as at December 31, 1995, and the statements of revenue and expenditures and changes in financial position for the year then ended. These financial statements are the responsibility of the College's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with generally accepted auditing standards. These standards require that we plan and perform an audit to obtain reasonable assurance whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation.

In our opinion, these financial statements present fairly, in all material respects, the financial position of the College as at December 31, 1995, and the results of its operations and the changes in its financial position for the year then ended in accordance with generally accepted accounting principles.

February 26, 1996  
Edmonton, Alberta

*Gardiner Karbani Audy  
+ Partners*

CHARTERED ACCOUNTANTS

# ALBERTA COLLEGE OF OPTOMETRISTS

Balance Sheet  
As at December 31, 1995

## ASSETS

	<u>1995</u>	<u>1994</u>
Current Assets:		
Cash	\$	\$
Temporary investments, Note 2	35,712	30,170
Accounts receivable	207,592	154,508
	<u>12,335</u>	<u>14,400</u>
Total current assets	255,639	199,078
Capital Assets, Note 3	<u>9,070</u>	<u>9,923</u>
	<u>264,709</u>	<u>209,001</u>

## LIABILITIES

Current Liabilities:		
Accounts payable	22,834	38,263
Deferred revenue	<u>24,750</u>	<u>28,575</u>
Total current liabilities	<u>47,584</u>	<u>66,838</u>

## SURPLUS

Balance, beginning of year	142,163	63,899
Excess of revenue	<u>74,962</u>	<u>78,264</u>
Balance, end of year	<u>217,125</u>	<u>142,163</u>
	<u>264,709</u>	<u>209,001</u>

SIGNED ON BEHALF OF THE COUNCIL:

Chairman

Secretary-Treasurer

*The accompanying notes and schedules are an integral part of these financial statements.*

# ALBERTA COLLEGE OF OPTOMETRISTS

## Statement of Revenue and Expenditures For the year Ended December 31, 1995

	1995		Variance Favourable (Unfavourable)	1995
	Actual	Budget		
Revenue:	\$	\$	\$	\$
Member dues	176,557	189,175	(12,618)	216,1
Professional corporation dues	8,745	9,000	(255)	9,0
Examination and registration fees	3,064	11,700	(8,636)	13,8
Disciplinary fines and cost recoveries	58,934	12,000	46,934	30,4
Interest	15,407	7,000	8,407	4,6
	<u>262,707</u>	<u>228,875</u>	<u>33,832</u>	<u>274,0</u>
Expenditures:				
Administrative and executive, <i>Schedule I</i>	165,308	210,000	44,692	160,8
College committees, <i>Schedule II</i>	18,513	25,550	7,037	26,2
Amortization	3,924	3,000	(924)	3,3
Loss on sale of investments	-	-	-	5,4
	<u>187,745</u>	<u>238,550</u>	<u>50,805</u>	<u>195,8</u>
Excess of revenue	<u>74,962</u>	<u>(9,675)</u>	<u>84,637</u>	<u>78,2</u>

*The accompanying notes and schedules are an integral part of these financial statements.*

# ALBERTA COLLEGE OF OPTOMETRISTS

## Statement of Changes in Financial Position For the year Ended December 31, 1995

	<u>1995</u>	<u>1994</u>
	\$	\$
CASH PROVIDED FROM (USED IN):		
OPERATING ACTIVITIES:		
Excess of revenue	74,962	78,264
Item not affecting cash:		
Amortization	<u>3,924</u>	<u>3,308</u>
	78,886	81,572
Net change to other current assets and liabilities:		
Accounts receivable	2,065	(14,400)
Accounts payable	(15,429)	21,865
Deferred revenue	<u>(3,825)</u>	<u>922</u>
	<u>61,697</u>	<u>89,959</u>
INVESTMENT ACTIVITIES:		
Purchase of capital assets	<u>(3,071)</u>	-
INCREASE TO CASH RESOURCES	58,626	89,959
CASH RESOURCES, BEGINNING OF YEAR	<u>184,678</u>	<u>94,719</u>
CASH RESOURCES, END OF YEAR	<u>243,304</u>	<u>184,678</u>
Represented by:		
Cash	35,712	30,170
Temporary investments	<u>207,592</u>	<u>154,508</u>
	<u>243,304</u>	<u>184,678</u>

*The accompanying notes and schedules are an integral part of these financial statements.*

# ALBERTA COLLEGE OF OPTOMETRISTS

Notes to the Financial Statements  
For the year Ended December 31, 1995

1. SIGNIFICANT ACCOUNTING POLICIES:

(a) Incorporation:

The College was incorporated under the Alberta Optometry Profession Act w amendments in force as of July 8, 1992.

(b) Temporary Investments:

Temporary investments are recorded at the lower of cost and quoted market value

(c) Capital Assets and Amortization:

Capital assets are recorded at cost which does not necessarily represent fair mar value.

Amortization of capital assets is recorded using a 20% straight-line method with residual values.

2. TEMPORARY INVESTMENTS:

Temporary investments consist of marketable securities carried at a cost of \$207,5 (1994 - \$154,508) with a quoted market value of \$207,681 (1994 - \$155,498).

3. CAPITAL ASSETS AND ACCUMULATED AMORTIZATION:

	1995		1994
	Cost	Accumulated Amortization	Net Book Value
Furniture	\$ 6,288	\$ 3,774	\$ 2,514
Equipment	8,038	3,595	4,443
Leaseholds	5,284	3,171	2,113
	19,610	10,540	9,070
			9,9

# ALBERTA COLLEGE OF OPTOMETRISTS

Notes to the Financial Statements  
For the year Ended December 31, 1995

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## RELATED PARTY TRANSACTIONS:

During the year, the College paid rent of \$12,400 (1994 - \$12,400) to the Alberta Association of Optometrists, an organization with common membership.

## BUDGETS:

Budget information, while not forming a part of the audited financial statements, is included for information purposes.

# ALBERTA COLLEGE OF OPTOMETRISTS

Detailed Schedule of Expenditures  
For the Year Ended December 31, 1995

## SCHEDULE

	1995		Variance Favourable (Unfavourable)	1995 Actual
	Actual	Budget		
<b>Administrative and Executive:</b>				
Annual general meeting	\$ 11,156	\$ 7,000	(4,156)	6,9
Audit and accounting	3,852	3,000	(852)	3,8
Bank charges	102	100	(2)	
Computer maintenance	535	-	(535)	-
Council travel, accommodation and per diem	14,437	12,000	(2,437)	10,4
Insurance	801	900	99	8
Legal fees - general	15,318	35,000	19,682	13,3
Legal fees - disciplinary action	33,900	65,000	31,100	43,4
Office supplies	1,250	3,000	1,750	2,3
Postage and courier	3,918	4,000	82	3,2
Printing	4,286	4,000	(286)	2,6
Rent	14,517	14,000	(517)	12,7
Telephone	3,578	4,000	422	3,6
Think Tank	77	3,000	2,923	3,2
Wages, benefits and subcontract	<u>57,581</u>	<u>55,000</u>	<u>(2,581)</u>	<u>53,7</u>
	<u>165,308</u>	<u>210,000</u>	<u>44,692</u>	<u>160,8</u>

## SCHEDULE

	1995		Variance Favourable (Unfavourable)	1995 Actual
	Actual	Budget		
<b>College Committees:</b>				
Communications	\$ 1,654	\$ 2,000	346	1,7
Discipline	3,836	2,500	(1,336)	3,0
Ethics	-	500	500	
Grievance	-	300	300	-
Legislative	3,414	2,500	(914)	3,2
Practice Review Board	9,301	7,000	(2,301)	4,0
Registration	308	10,000	9,692	14,0
Universities Coordinating Council	-	750	750	-
	<u>18,513</u>	<u>25,550</u>	<u>7,037</u>	<u>26,2</u>