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*Note: Due to size restrictions, not all tabled documents appear in this volume. For copies of papers listed but not contained in this volume, please contact the Secretariat on (02) 6277 3560.

NATIONAL ACTION PLAN ON HUMAN RIGHTS – WORKING GROUP

The working group is chaired jointly by the Attorney-General's Department and the Department of Foreign Affairs and Trade.

It comprised representatives from -

- Department of the Prime Minister and Cabinet;
- Department of Communications, Information Technology and the Arts;
- Department of Employment and Workplace Relations;
- Department of Family and Community Services;
- Department of Defence;
- Department of Health and Ageing;
- Department of Education, Science and Training;
- Department of Immigration and Multicultural and Indigenous Affairs;
- Human Rights and Equal Opportunity Commission; and
- the Aboriginal and Torres Strait Islander Commission.

Senate Legal & Constitutional Affairs Legislation Committee Consideration of Budget Estimates 2003-04

Tabled Document

By: 12. 6

Date: 2114 26/05/03

Work being undertaken by NADRAC in 2003

NADRAC has established a number of committees to focus upon selected issues. The committees and their work are as follows:

ADR Research

NADRAC held a round table conference on 21 February 2003 in Melbourne, which 51 people attended, including academics, ADR practitioners and court officials. NADRAC facilitated discussions with the objectives of:

- identifying strategies for improving the quality and consistency of ADR research, evaluation and data collection
- maximising the impact of current research efforts through sharing information about current projects and approaches and through developing links among those engaged in ADR research
- making suggestions on good practice in ADR research evaluation and data collection, which could form the basis for a NADRAC guide or paper on this issue.

Notes from the round table have been distributed to participants.

Indigenous dispute resolution

NADRAC is holding its next Council meeting in Alice Springs on 18 – 20 June 2003. A meeting is planned with local Indigenous groups on 19 June 2003 through which NADRAC will seek to obtain information that will assist it to understand, support and encourage the effective provision of ADR services to Indigenous people and to inform itself of the particular needs of Indigenous people who use ADR processes and services.

Specifically, NADRAC aims to talk with Indigenous groups and with those involved in providing ADR services to Indigenous people in order to:

- learn about ADR practices in Indigenous communities, including what has and hasn't worked
- gain the ideas of Indigenous people on ADR issues examined by NADRAC
- work with people on developing future strategies for improving the delivery of ADR services to Indigenous people.

It is proposed that this meeting will be the first of a series of such meetings with Indigenous groups.

Senate Legal & Constitutional Affairs Legislation Committee Consideration of Budget Estimates 2003-04

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By: A.C.

Referral to ADR

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The Australian Institute of Judicial Administration (AIJA) and NADRAC have commissioned Assoc. Prof. Kathy Mack to prepare a background paper on court referral to ADR. Kathy Mack provided a draft of her paper on 11 February. The joint AIJA/NADRAC advisory group discussed the paper on 14 February. A second draft is now being prepared.

Terminology

NADRAC produced a discussion paper on ADR terminology on 12 June 2002.

Submissions were requested from industry groups. Responses have been collated and are being posted on the NADRAC website. NADRAC is considering whether, in light of the submissions received, it would be desirable to revise its 1997 paper Alternative Dispute Resolution Definitions.

Statutory Provisions

NADRAC is establishing a database that is to include Commonwealth, and possibly State and Territory legislative provisions, dealing with ADR. Upon its completion the database will be made available on the NADRAC website and allow users to search for provisions on key issues, such as immunity of ADR practitioners, confidentiality and the admissibility of evidence.

This database will assist NADRAC in preparing a guide, identifying relevant legal and policy issues impacting upon the legislative regulation of ADR processes.

Family Law PDR

On 30 April 2003 NADRAC provided the Family Court of Australia with comments on its proposed changes to the Family Law Rules to be introduced in 2004.

NADRAC Conference

NADRAC is holding a 2 day conference entitled "ADR – a better way to do business" on 4 and 5 September 2003 aimed at encouraging Australian businesses to incorporate ADR initiatives in their business practices. The conference will showcase successful strategies used in the business community to prevent, manage and resolve business disputes.

5. Summary of NADRAC's submissions and publications

This table summarises the major points, recommendations or findings which NADRAC has advanced in its past submissions, report and discussion papers. Documents marked * are available on NADRAC's web-site (www.nadrac.gov.au)

Date	Matter	Summary	
2001-2002			
June 2002	ADR terminology (Discussion paper)*	Poses a series of questions about how terms are used, and should be used, in ADR. Submissions invited by 31 December 2002	
May 2002	ADR statistics (Compilation of published statistics on ADR in Australia)*	Intended as a resource document to guide consideration of ADR data collection	
April 2002	Government use of ADR (Letter to Attorney-General)	Need for reference to ADR and to ADR standards in the Legal Service Direction Need for ADR clauses in contracts for provision of good and services to Commonwealth agencies	
March 2002	What is ADR? (Brochure on ADR terms)*	Simplifies earlier definitions paper	
March 2002	Dispute Resolution and Information Technology (Draft guidelines)*	Take into account impact and potential of technology	
		 Consider accessibility, fairness, effectiveness, cost and legal issues 	
		 Manage risks associated with delivery of ADR service on-line 	
		 Need to match technology to needs of disputes and parties 	
		 Develop service and practitioner standards to take account of use of technology 	
		 Consider use of technology in other areas, including marketing of ADR, information management, research, education and professional development 	
		 Apply change management strategies when introducing new technology 	
Feb. 2002	Mediation competencies (Letter to Community Services and Health Training Australia)	General comment on draft qualification and competencies in community mediation:	
		 Consultation 	
		 Diversity 	
		Use NADRAC's standards within evidence guides	

2002-02	Recommendations of the Family Law Pathways Advisory Group (Letter to Attorney-General)	 Supports the direction of the FLPAG's report Need for well researched an targeted promotion of 	
	(Estici to Attorney-General)	non-adversarial approaches	
		 Reference to Quality Framework Submission (2002–01) 	
		 Support for case assessment, but noting complexity of the task 	
		• Need for consistent terminology (refers to 2001-11)	
		 Need for evaluation of innovative models of service delivery 	
Jan. 2002	PDR Quality Framework	 Support for overall goals of proposal 	
	(Submission to Attorney-General's Department in relation to	 Avoid too much emphasis on organisational performance at expense of practitioner competence 	
	consultation paper proposing a quality framework for PDR service under the Family Law Act)*	Need to link with other professional/service groupings	
	mode mo I aminy Dan 1200)	 Take into account elements in an appropriate code of practice as outlined in NADRAC's standards report 	
		 Some additional standards required vis a vis family services, especially family violence/child abuse) 	
		 Give greater prominence to complaint handling 	
		 Keep 'essential' obligations and responsibilities within the regulations themselves 	
		 Need to clarify implementation issues - costs, compliance, infrastructure. 	
Dec. 2001	ADR In E-Commerce (Submission to Expert Group on e- commerce re discussion paper on Dispute Resolution in e- commerce)*	Need for consultation and coordination in e- commerce ADR	
		 Consistency in terminology required 	
		 Independent research and evaluation of on-line ADR is vital 	
		 Intake, assessment and preparation processes are essential in light of role of third parties (eg credit providers), dispute dynamics, power balance, representation; nominal fess may not be appropriate 	
		 Important to match the communication medium to the parties and to the dispute 	
Nov. 2001	Family Law Act terminology (Letter and background paper on the need to review the PDR provisions of the Family Law Act and Federal Magistrates Service	Need for consistency in PDR terminology	
		 Need for a review of the FLA 	
		 Current provisions need to reflect current PDR practices 	
	Aci)	Statutory protections also require review	
August 2001	Definitions (Brief discussion paper on web-site on need for common language in ADR)	Presents arguments for and against consistent terminology in ADR and asks for comment	
Angust 2001	Franchising Code of Conduct (Letter to Office of Small Business)	Need to address termination issues, and resolve ambiguity surrounding 'imminence of resolution' Address issue of site of mediation, especially in context of on-line ADR	

Previous years				
May 2001	ADR/PDR terminology (Background paper for meeting convened by NADRAC between Family Court, Federal Magistrates Service and Attorney-General's Department)	Identifies issues surrounding use of terminology for PDR/ADR in the family law systems		
May 2001	Federal Magistrates Service Draft Rules (Submission to Registrar of Federal	Reiterates previous advice See below		
Rules (Submission to Registrar of Federal Magistrates Service) April 2001 Standards for ADR (Report to Attorney-General A Framework for ADR Standards)* Examine feasibility Monitor complaine Examine feasibility Commonwealth of Compliance with Commonwe	developing standards, a code and enforcement of code by appropriate means); recognise diversity 2. Service providers to adopt and comply with code of practice 3. Service providers to have a complaints mechanism 4. Examine feasibility of ADR Ombudsman 5. Monitor complaints 6. Compliance based predominantly on self-regulation 7. Compliance with code of practice as part of Commonwealth contracts 8. Other governments also to require compliance with a code 9. Consumer education activities to encourage code 10. Mandating bodies give special attention to quality 11. Review of stantory provision 12. Determine need for accreditation on a sector by sector basis 13. Principles suggested for accreditation of practitioners 14. Accrediting bodies develop mutual recognition 15. Selection process to be fair, transparent, effective 16. Engagement of practitioner based on knowledge, skills and ethics, not necessarily tertiary qualifications 17. Training providers inform participants of expected outcomes 18. Training take account of (framework); be performance based, and use best practice learning strategies 19. Explore peak body 20. Resources commensurate with risks and benefits 21. Improved data collection			
Jan. 2001	On-line ADR (Background paper)*	This is a background paper only and is not intended to state NADRAC's position. It was placed on the web-site with an invitation for comment from interested parties.		

Letter to Family Court of Australia

Dec. 2000	Criteria for referral to ADR Letter of advice to Federal Magistrates Service	Assessment of suitability is complex. There is a lack of empirical research on suitability criteria. Some factors identified are:		
		 Current fear or high risk of violence by or to a party 		
		Allegations of child abuse		
		 An unmanaged mental illness or intellectual disability without appropriate advocacy 		
		 A clear statement by one party that they will not participate in ADR or that they 'want their day in court' 		
		 A statement by the parties that they want to resolve their conflict in a non-adversarial forum 		
		 Bad faith bargaining, or clear likelihood of this 		
		 The intention of one party to use the process to harass the other 		
		Over riding public interest		
		 A matter which is primarily a dispute of fact 		
		 Parties who have major, non-negotiable value differences 		
		 The ability of the parties to make an informed choice to attend 		
		 The capacity of the parties to negotiate safely on their own behalf 		
		 The extent to which any power imbalance can be redressed 		
		 Lack of commitment by one or more of the parties to resolve the dispute 		
		 Any relevant court orders which make ADR difficult (eg a restraining order) 		
		 Cultural factors and considerations 		
		 Legal representation of the parties 		
		 The likelihood that the costs of ADR outweigh its benefits. 		
May 2000	Administrative Review Tribunal Letters of advice to Attorney- General's Department	Need for specific reference to ADR processes		
June 2000	ADR data collection in courts Letter to Attorney-General	Need for improved data collection on Court ADR, starting with federal courts and tribunals		
March 2000	Use of term mediation	Need for consistent terminology		

March 2000	Franchising Code of Conduct Submission to Franchising Policy Council*	1.	Recommend research and data collection to establish benchmarks against which information can be measured
		2.	The code provisions should be kept under review
		3.	There is value in making parties participate fully but
		4.	do not favour the term 'in good faith' Oppose requirement for mediator to certify that
			parties made a genuine attempt to mediate
		5.	Code to refer to mediation as the principal method of DR
		6.	Add a 'case stated' option for a quick, relatively inexpensive and final decision
		7	Commonwealth could require parties to mediate
		<i>(</i> .	before enforcing the provision of a franchising
		•	agreement
		8.	Recommend use of standards
March 2000	Standards for ADR	1.	Proposed framework for ADR standards
	Discussion paper	2.	Asked 70 questions for comments
	The Development of Standards for		April 2001 – final report
	ADR*	-	
June 2000	Parenting Plans	l.	Encourage use of parenting plans, and use consent
	Joint Letter of Advice to Attorney-		orders where enforceability is sought
	General (with Family Law	2.	Repeal registration provisions
	Council)*	3.	Encourage an integrated parenting plans/consent
			order package
Dec. 1999	Federal Magistrates Service Rules	1.	
	and Regulations Part 2 Report to Attorney-General*		information sessions, brochures, initiating
			documents
		2.	2 2
			indicators) for referral to ADR
		3.	ADR practitioner has an obligation to assess for suitability
		4.	Approval of ADR service providers by Attorney-
			General's Department (quality approval process) as
			apposed to Family Law Regulations for family and
			child mediators—link to immunity and complaints
			process
		5.	Encourage parties to go to Court to obtain and referral order to ADR
		б.	Court personnel should not automatically be
		_	qualified as ADR practitioners
		7.	A 5
		_	powers and obligations of ADR practitioner)
		8.	
		9.	Immunity/confidentiality should not prevent
		10	consumer redress
		IU.	Regulations should specify that ADR service
		11	providers have a complaints mechanisms
		11.	ADR practitioner should report back to court on termination (defined headings, but not willingness to
			cooperate)
			Evaluate ADR services
		15.	Cost to take account of ADR costs, and refusal to
		τ 4	attend ADR
***************************************		14.	Court should scrutinise ADR agreements

August 1999	Diversity "A Fair Say" Public guide to managing differences in mediation and conciliation*	Provides practical guidelines for managing diversity
March 1999	Federal Magistrates Service – Act Part 1 Report to Attorney-General*	1. ADR should be an integral part of the Court 2. Legislation should refer to DR, not ADR processes 3. Focus on procedural flexibility 4. ADR not a replacement for judicial adjudication 5. Emphasise proper assessment, referral and quality 6. Set out objectives in a legislative provision 7. Legislation should name each DR process 8. Use the NADRAC definitions and consistent terminology 9. Court to have power to make rules about procedure 10. Access to legal representation/advice/other support 11. Support a diversity of providers of DR services 12. Legislation should address the issue of standards 13. Court to use list of appropriate DR providers 14. Judge not to adjudicate disputes where s/he has done ADR 15. Court to make regulations which set Court ADR fees 16. Duty to advise clients of the availability of DR processes 17. Require provision of written information about DR 18. All/any part of a dispute to be referrable to DR process 19. Range of DR processes to be available at any stage 20. Mandatory referral by qualified assessor is acceptable 21. Court evaluation of all its DR processes is vital 22. DR providers to have similar immunity to judges 23. Implement a complaints procedure (against DR process) 24. Court to review agreement in limited circumstances 25. Court to be able to terminate a non-judicial DR process 26. Court to determine a question of fact/law to assist ADR 27. Dispute resolver to provide limited reports to Court 28. Non-compliance/refusal to provide essential information 29. DR providers-appropriate powers to facilitate outcomes 30. Magistrates should have substantial experience in ADR 31. Legislative protection should not extend to pre-filing 32. Court to make rules on a simple, inexpensive process for initiating action within the court without pleadings

Feb. 1999	Law Reform Commission of	Importance of a r	ange of DR processes
	Western Australia Review of the		ta collection on DR
	Civil and Criminal Justice System Response to Consultation Paper on		f court files and details of DR
	The Use of Couπ-based or		teria for appraisal/screening of
	Community Alternative Dispute Resolution Schemes and Alternative Forums for		h multiple dispute resolution
	Adjudication		s should be adaptable to the
			ADR might be used
		***	about the court and ADR
	•		putants to use ADR
			change of legal practitioner culture
		The state should	bear the costs of ADR in the court
		system Protice should us	e external ADR at their own cost
			t-annexed ADR is a complex issue
			ing and qualification standards
			who has acted as an ADR
			d be disqualified from
			adicating the same dispute
			on a 'without prejudice' basis
			duty of confidentiality
Fcb. 1999	Small Business Access to the Legal		of the recommendations, but
100, 1555	System	h #	ecommendations impractical and
	Advice to Attorney-General's		tions; need to give attention to
	Department in response to the	cesses of impleme	
	Suggestions Paper of the Review of	***************************************	
	Small Business Access to the Legal		
	System		
Jan. 1999	Workplace mediation	Distinguish medi	ation from conciliation in industria
	Submission to Department of Workplace Relations and Small	4 - 4	ent and screening of matters for
	Business in response to Ministerial	suitability	tent and screening of matters for
	Discussion Paper: Approaches to		ation or adjudication after
	Dispute Resolution: A Role for		liation (ie not proceed to
	Mediation?	conciliation)	indon (ie noi proceed to
	HIGHMIUII;		ition acceptable in certain
			gatekeeper required)
			e providers should be able to
			e providers should be able to
_			lge of the legislation

Sept. 1998	Federal Dispute Resolution	1. Benefit of ADR = timeliness, cost effectiveness,
ocpt. 1270	Australian Law Reform	flexible outcomes and client satisfaction
	Commission Review of the	2. Need for a variety of DR processes
	Adversarial System of Litigation -	3. Flexibility importance
	Response to Issues Paper No 25	4. Gatekeeping and assessment is critical (criteria
	ADR - its role in federal dispute	offered)
	resolution	5. Need to properly design the ADR system
	respiation	6. Need to establish evaluation criteria for ADR
		7. Timing of ADR important (and early intervention
		may be appropriate)
		 Avoid blurring adjudication with facilitative and advisory processes
		9. Supports ADR training for judges 10. ADR should not be used to reduce funding for
		courts
		11. Drew attention to diversity paper in relation to NNTT
		 Safeguards re compulsions in ADR (assessment, etc.)
		13. Standards should include both neutrality and
		impartiality
		14. Limit immunity
		Conditions suggested for confidentiality
		16. Standards - await NADRAC report
_		17. Lawyers should advise clients of ADR
April 1998	Small Business	Editorial suggestions
,	Department of Workplace	
	Relations and Small Business -	
	Response to ADR Information Kit	
	for Small Business	
April 1998	Standards Australia Comment on	1. Suggests amendments to proposed criteria for ADR
·	the proposed Standard on Dispute	processes
	Resolution	2. Makes a series of editorial suggestion
March 1998	Benchmarks	Need to provide information to small business via
	Australian Competition and	informal networks
	Consumer Commission Round	Specific recommendation on additions to proposed kit
	Table on Small and Large Business	<u></u>
	Disputes - Comment on	
	Implementation of the Benchmarks	
	for dispute avoidance and	
	resolution - a guide	
Dec. 1997	Primary Dispute Resolution	1. Confine term 'Primary Dispute Resolution' to
DEC. 1997	Attorney-General's Department –	mediation and conciliation
	Response to Discussion Paper on	Support choice of DR service, accessibility,
	Delivery of PDR Services in	efficiency, accountability, quality, integrated service
		panning and policy development, diversion from
	Family Law	
		litigation 2. Prime issues of accountability in context of
		Raises issues of accountability in context of
		outsoucing
		outsoucing 4. Raises issues about the functions of a proposed Office of Family Relationship Services

Nov. 1997	Diversity Discussion Paper on Issues of Fairness and Justice in Alternative Dispute Resolution*	Identifies challenges for ADR services in responding to diversity and suggests the following be addressed: 1. Dispute resolution system design 2. Training 3. Access to ADR services 4. Cost 5. Social trends of public concern and interest 6. Links with associated services 7. Recruitment of members of minority groups 8. Use of advocates, legal representatives, interpreters, etc.
Nov. 1997	Australian Law Reform Commission Review of the Adversarial System of Litigation - Response to Issues Paper No 20 Alternative or Assisted Dispute Resolution	and proposes practical guidelines concerning assessment, and modifications and accommodations. 1. Persuasion of parties to use ADR - unlikely to be appropriate by judicial officers, appropriate for non-judicial officers — early in litigation process 2. Mandatory mediation requires certain conditions and safeguards (including 'gatekeeper') 3. Supports diversity of ADR providers 4. Generally court staff should not move from one DR process to another 5. Examine immunity — ensure consumer redress possible 6. Respect party self determination, but also identify criteria for referral to ADR
March 1997	Family Law Regulations Report to the Attorney-General Primary Dispute Resolution in Family Law - on Part 5 of the Family Law Regulations*	 Need for better ADR data collection Compliance with regulation only for those seeking protection of the Act Amend immunity to enable consumer recourse Retain terriary qualification requirements for the present, but consider recognition of specific family law experience in the future Recognise accountants (under reg 60) Include 'admitted' legal practitioner (eg Clerkships, not university educated) Limited authorisation scheme for ATSI mediators Provide means to assist ATSI people gain appropriate tertiary qualifications Limited authorisation scheme for NESB mediators Improve access to tertiary courses Amend subregulation 60(3) – mediation of that kind to general reference to mediation of family disputes Provide authorisation scheme for 'true grandparents' of mediation Remove subregulation 60(4) Amendment to wording – sub para 60(3)(b)(ii) Require at least 3 days specific training in family mediation issues Independent supervisors should be experienced in family mediation Include as supervisors people who are eligible for membership of relevant bodies (ie not necessarily current members Provide that (a) mediator conducts an assessment or is satisfied that an has been appropriately conducted; and (b) decision to proceed or no could be taken by mediator or intake officer

		18. Remove requirement for written statement and provide that information is provide as appropriate t the case; and specific changes recommended to the nature of information provided
March 1997	ADR Definitions Paper on Alternative Dispute Resolution Definitions*	A paper defining term for ADR facilitative, advisory and determinative processes
Feb. 1997	Authorisation of Family and Child Counsellors Letter to Attorney-General's Department in response to request for advice on interim arrangements for the authorisation of Family and Child Counsellors	High level of training and expertise required for family and child counsellors, due to incidence of violence and abuse
Feb. 1997	AFP/NCA complaints Attorney-General's Department - Response to request for advice on Australian Law Reform Commission Report No 82 – Integrity: but not by trust alone: AFP and NCA complaints and disciplinary systems	 Define mediation and conciliation Examine public interest Carefully consider whether officers from within the police force be used as mediators Need for adequate training Relate ADR to good management practices Consider Standards Australia AS 4269 1995 Provide time limits for processes, with flexibility ADR should not be considered in some cases – this to be determined on an individual – not 'type' basis ADR should not be compulsory for complainants, but possibly for members of police force
Jan. 1997	Benchmarks for Consumer Dispute Resolution Schemes	include specific reference to situations where ADR may be inappropriate, such as power imbalance
Jan. 1997	Non-consensual mediation in the Federal Court of Australia Letter of advice to Attorney-General's Department -	1. Mandatory mediation may be appropriate in some circumstances; a properly trained 'gatckeeper' is required, and criteria applied for referral. 2. Mediators should have the time appropriate to meet the needs of the parties.
Nov. 1996	Government Service Charter Initiative	In staff training section, address issues of power imbalance and potential biases between consumers and
Oct. 1996	Youth Homelessness Submission to Youth Homelessness Taskforce	cervices
October 1996	Family Services Submission to Parliamentary Committee into Aspects of Family Services	1. Not appropriate for preventive family services to be provided by the courts 2. Provide easy access to a range of DR services 3. Monitor impact of any new fees for service (for family court counselling) 4. Attend to issue of family violence 5. Support provision of quality mediation services provided by State Governments agencies
June 1996	Uniform succession laws Submission to Queensland Law Reform Commission	Reforms to succession laws should make reference to ADR processes in relation to disputes over estates.