

COMMISSION OF INQUIRY NO. 1 OF 2005
MEDICAL BOARD OF QUEENSLAND

This is the annexure marked "**JPO-5**" mentioned and referred to in the Statement of **JAMES PATRICK O'DEMPSEY** dated this 17th day of May 2005.

PERFORMANCE REPORT

FOR THE PERIOD

1 JULY 2004 – 31 DECEMBER 2004

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Highlights: July - December 2004

The period under report has been characterized by a focus on continuous improvement in the quality of Office services. Progress and outcomes relevant to each of the Office's key service areas are detailed in the following sections of the Report. The highlights for this half year are summarized below:

- The Registration Review Project completed and a change proposal is currently being prepared for Board consideration.
- A strategy for monitoring compliance with conditions is currently being developed and costed.
- A standard process for dealing with breaches of the registration Acts has been developed for Board consideration.
- An Information Pack for new medical registrants has been developed and implemented. A proposal is currently being prepared for consideration of the 12 other Boards.
- Significant progress has been achieved to implement a scheme of deemed national medical registration.
- Majority of approved recommendations from the Complaints and HAM Review Project have now been implemented.
- Version 1 of the Professional Standards Module for REGIS has been completed and implementation will be achieved by June 2005.
- The review of the role and responsibilities of investigators has been commenced and report and recommendations will be available for Executive Officer consideration by March 2005.
- Protocol for Board level disciplinary actions by correspondence has been completed for trial in March 2005.
- The reduction of the investigation backlog is well advanced and is due for completion by April 2005. Since 1 July 2002 the investigation caseload has been reduced by 35% across all Boards.
- Recency of practice project continues on schedule as approved by the Boards.
- Board governance self assessments completed and opportunities for improvement addressed.
- Policy Paper on Legislative Amendments fully drafted and will be available for Board consideration by May 2005.
- All objectives within Corporate Support Services on track for achievement by 30 June 2005.

Registration Services

This service manages all processes associated with application for, and renewal of, registration in accordance with the relevant legislative provisions and the policies of the relevant Board. The service ensures that: (a) initial applications for registration are processed; (b) registrations are renewed annually; (c) all other registration activities such as restorations, and special purpose and conditional registrations are completed; (d) enquiries from applicants for registration and registrants are processed; (e) registers are maintained in accordance with the legislation; and (f) Boards are kept informed of all matters relating to registration services.

This report identifies the objective stated in the *Operational Plan 2004-2005*, the activities undertaken to meet this objective and outcomes achieved.

Objective: To implement the approved Plan from the Business Process Review of Registration Services.

During the period under report the project has been significantly progressed. The Current State Baseline and Service Vision Concept were completed and endorsed by the Steering Committee. Following such endorsement, the Project Team progressed development of the detailed design of future registration processing and a service business case. In December 2004 the Project Team presented the final draft of the Service Business Case to the Steering Committee.

The Committee will consider that document in early 2005 with a view to its endorsement. On endorsement a proposal for change will be prepared for consideration by all thirteen Boards and this proposal will include advice on the implementation strategy. It is expected that the proposal will be available for the consideration of all Boards by April 2005.

Concurrent with the development of the Service Business Case, the process for development of a new registration and registrant management system was initiated. The Integrated Service Delivery Unit, our partner in this project, provided at no cost to the Office, a full time business analyst to undertake this activity. This included the development of a purchase plan, documenting the user business requirements and developing the software specification. Companies were invited to express interest in undertaking the development and this Expression of Interest closes on 14 January 2005. Commencement of this process does not commit the Office or the Boards to a commercial contract but enables the Office and the Boards to make an informed decision about funding the development and implementation of a new software system. This matter will continue to be progressed to a Request for Offer and it is at the conclusion of the selection process for the successful tenderer that a decision will need to be made about progressing this critical development activity.

In addition to the above noted project, work has been completed on the standard registration management information reports and these are now being utilized by the Assistant Registrars.

Objective: To develop and implement a strategy for monitoring compliance with conditions imposed under the registration Acts.

During the period under report a workshop of relevant internal staff from the registration teams, the Professional Standards Unit and the Health Assessment and Monitoring Unit was conducted. This

workshop, held in November 2004, focused on: (a) defining the conditions and undertakings the Office needs to monitor on behalf of the Boards; (b) identifying any current issues in relation to such monitoring; (c) developing the overarching requirements for establishing a monitoring regime; and (d) identifying the costs of such a regime.

The report of the Workshop will be available in early 2005 to progress achievement of this objective.

Objective: To jointly develop and implement standard processes for dealing with breaches of the registration Acts.

During the period under report a draft policy and procedure for dealing with breaches of the registration Acts was developed through consultation between the Professional Standards Unit and the five registration teams.

The draft, which has been approved by a number of Boards, will ensure that the procedures to be introduced are: (a) consistent with the requirements of the *Health Practitioners (Professional Standards) Act 1999* and the registration Acts; (b) focused on an educative rather than punitive approach to registrants; and (c) cost efficient and effective.

All Boards yet to consider the draft will receive a submission on the matter in April 2005.

Objective: To develop and implement an information kit for new medical registrants.

During the period under report the Resource Pack for new medical registrants was designed and printed. In addition, it was distributed to new graduands in December 2004 and a copy will be provided to all registrants in January 2005. Information included in the Resource Pack is as follows: (a) an introductory letter from the Chairperson of the Board; (b) *Good Medical Practice*; (c) *Medical Practitioners Infected with Blood Borne Viruses*; (d) *Statement on Sexual Relationships Between Health Practitioners and Their Patients*; (e) *Unconventional Medical Practice*; and (f) a brochure advising of the Health Assessment and Monitoring Unit and its processes.

A submission to the 12 remaining Boards is currently under preparation in order that the Boards can consider whether they wish to progress such an initiative.

Objective: To progress the AHMAC Working Party initiative for enhancements in mutual recognition.

During the period under report significant activity has been progressed to prepare for implementation of the enhancements to mutual recognition for the medical profession as approved by the Australian Health Ministers Conference ('AHMC'). This has included establishment of the: (a) Australian Index of Medical Practitioners ('AIMP') Working Party; and (b) National Legislative Working Group.

The AIMP Working Party has defined the requirements for the system and will be calling tenders for its development and implementation. Such implementation, which is jointly funded by the Commonwealth, and the States and Territories, is based on a two year project plan and includes a number of pilot sites. Queensland has agreed to be a pilot site, as has Victoria and the Australian Capital Territory.

The Terms of Reference of the Legislative Working Group, as approved by AHMC, are as follows:

- (a) To provide expert advice and assistance to the medical registration legislation project team in the following key areas:

- policy recommendations that will provide the basis for preparation of drafting instructions for medical registration legislation;
 - arrangements to ensure consistency of legislation and its implementation across jurisdictions; and
 - a communication strategy for consulting with key stakeholder groups on policy options and proposed legislative reforms.
- (b) To report to the Australian Health Workforce Officials Committee ('AHWOC') through the National Medical Registration Standing Committee and liaise with, and seek input from other Standing Committee Working Groups including the Public Access Working Group in relation to matters such as implementation of the index and public access to medical register information.

The Executive Officer has been appointed as a member of both the AIMP Working Party and the National Legislative Working Group. In addition to these activities, the Executive Officer has made presentations on this initiative to the: (a) Australian Council of Physiotherapy Regulating Authorities (ACOPRA'); (b) Council of Regulating Authorities (this is the national body for Dental Technicians and Dental Prosthetists); and (c) Council of Optometry Registration Authorities.

Statistical Data:

Appendix 1 - Table 1 details the number of registrants per Board as at 31 December 2004 and includes comparative data from previous years.

Appendix 1 - Table 2 details the number of registrations approved in the period under report.

Board Meeting Support Services

This service provides administrative support for Board and Board Committee meetings, including actions arising from decisions at meetings. The service ensures: (a) preparation of agendas and minutes for meetings of the Boards and, where required, their Committees, and the Combined Meetings of Board Chairpersons; (b) attendance and taking of minutes at Board meetings and, where required, Committee meetings; and (c) preparation of Board correspondence and newsletters.

It should be noted that there were no objectives in the *Operational Plan 2004-2005* relevant to this service and, as such, no report is required.

Statistical Data

Appendix 1 - Table 3 details the number and type of meetings serviced by the Office in the period under report.

Complaints Management Services

This service manages all processes associated with complaints made about the conduct of registrants. These processes include: (a) receipt and documentation of complaints; (b) management of investigations and any subsequent disciplinary proceedings; (c) monitoring compliance with conditions and undertakings; (d) management of competence assessments; (e) obtaining formal opinions from, and instructing, solicitors acting for the Boards; and (f) development of education programs for practitioners on ethics and standards of practice.

This report identifies the objectives stated in the *Operational Plan 2004-2005*, the activities undertaken to meet these objectives and outcomes achieved.

Objective: To finalise implementation of the approved recommendations from the Complaints and HAM Review Project as follows: (a) final drafting, design and printing of policy, information sheets and complaints brochure; (b) develop expert witness register; and (c) complete all required templates.

During the period under report a project plan for the development, implementation and maintenance of an expert witness register was finalized and approved. This initiative will continue to be progressed and the register populated through a call for expressions of interest communicated to the relevant professions. When implemented the register is expected to decrease delays experienced in seeking expert reports during investigations.

In addition, all templates for the Professional Standards Unit have been reviewed to ensure not only that they are consistent with the *Health Practitioners (Professional Standards) Act 1999* but also that they are clear and understandable to recipients of our correspondence and notices.

The Professional Standards Unit has also contributed to the development of the Policy Paper on Legislative Amendments, the final draft of which is currently being reviewed prior to its submission for the consideration of all Boards.

Component (a) of this objective is yet to be progressed as there are more critical activities to be completed. It is likely that this initiative will be 'rolled' into the operational plan for 2005-2006.

Objective: To implement Version 1 of the Professional Standards Module.

During the period under report the development phase for Version 1 of the Professional Standards Information System has been completed. System acceptance testing and data migration phases will commence in 2005 with the objective being to populate the system with data and implement it by June 2005. All relevant data available from 1 July 2004 will be used in the data population process to ensure the reporting functionality of the system is available for the 2005-2006 financial year.

Objective: To finalise the review of administrative procedures and protocols.

This objective was progressed only minimally during the period under report. Activity has focused on planning for achievement of the objective. Such planning has been completed and will be implemented in the second half of the financial year.

Objective: To improve our processes and co-operation through effective communication with related organisations.

During the period under report activity in relation to this objective has focused on the development of a communication protocol with the Health Rights Commission. This protocol has been drafted for the consideration of the Executive Officer in 2005.

Objective: To review the role and responsibilities of investigators.

During the period under report Workplace Consulting Queensland was appointed to undertake the review. The review was constituted by the Consultant:

- (a) Reviewing the current position descriptions and meeting with all incumbents and the two Unit Managers to establish the continuing relevance of the accountability statements and selection criteria.
- (b) Developing draft position descriptions based on the outcomes of the initial review and seeking comment on the drafts from the incumbents and the two Unit Managers.
- (c) Submitting a final draft of the position descriptions to the Executive Officer for consideration and, on approval by the Executive Officer, evaluating the positions using the Job Evaluation Methodology.

It is expected that the consultant will provide a report and recommendations for consideration of the Executive Officer by March 2005.

Objective: To develop and implement processes and protocols (including an information package) for Board level disciplinary hearings.

During the period under report activity in relation to this objective has focused on drafting a protocol for Board level disciplinary hearings by correspondence. The protocol is to be completed by March 2005 and trialled through the Medical Board, as this Board has the highest number of such disciplinary matters.

Objective: To develop and implement a strategy for monitoring compliance with undertakings, conditions, and suspensions initiated under the *Health Practitioners (Professional Standards) Act 1999*.

During the period under report a workshop of relevant internal staff from the registration teams, the Professional Standards Unit and the Health Assessment and Monitoring Unit was conducted. This workshop, held in November 2004, focused on: (a) defining the conditions and undertakings the Office needs to monitor on behalf of the Boards; (b) identifying any current issues in relation to such monitoring; (c) developing the overarching requirements for establishing a monitoring regime; and (d) identifying the costs of such a regime.

The report of the Workshop will be available in early 2005 to progress achievement of this objective.

Objective: To develop and progressively implement a stakeholder education strategy.

This objective was progressed only minimally during the period under report. Activity has focused on planning for achievement of the objective. Such planning has been completed and will be implemented in the second half of the financial year.

Objective: To finalise the reduction of the investigation backlog and to establish an ongoing strategy for management of future caseloads.

During the period under report progress for achievement of this objective was reviewed. That review identified a 'bottleneck' had occurred in the review and settlement of draft Preliminary Investigation Reports completed by the external panel. To address this issue, an additional position was established to manage the caseload of reports and progress their completion for Board consideration.

Recruitment for the position was undertaken in December 2004 and the position will commence from January 2005. The progress of clearing the majority of external investigations by April 2005 is being closely monitored by the Complaints Co-ordinator.

Statistical Data

Appendix 1 - Table 4 details the number of investigations as at 1 July 2004, the number of complaints received during the period under report, the number of investigations commenced during the period under report, the number of investigations completed during the period under report and the number of investigations continuing as at 31 December 2004.

Appendix 1 - Table 5 details the change in outstanding investigations in percentage terms from 1 July 2002 to 31 December 2004.

Health Assessment and Monitoring Services

This service manages all processes dealing with impaired registrants in accordance with Part 7, *Health Practitioners (Professional Standards) Act 1999* ('the Act'). Part 7 of the Act provides the authority for all Boards to manage impaired registrants through a non punitive approach to illness management and to reduce the incidence of concealment of impairment by registrants. Such management includes assessment, monitoring and supervision of impaired registrants. The service ensures: (a) compliance with legislative requirements; (b) protection of the public through appropriate management of registrants who have illnesses that can potentially impact on their ability to practise safely; and (c) assistance to registrants whose career is threatened by illness.

This report identifies the objectives stated in the *Operational Plan 2004-2005*, the activities undertaken to meet these objectives and outcomes achieved.

Objective: To finalise implementation of the approved recommendations from the Complaints and HAM Review Project as follows: (a) final drafting, design and printing of policy, information sheets and HAM brochures; and (b) negotiating and implementing legislative amendments.

During the period under report the Health Assessment and Monitoring Unit has reviewed and amended all templates and brochures utilized. The professional design, layout and printing of brochures will be progressed in 2005.

The Health Assessment and Monitoring Unit has also contributed to the development of the Policy Paper on Legislative Amendments, the final draft of which is currently being reviewed prior to its submission for the consideration of all Boards.

Objective: To implement Version 1 of the Professional Standards Module.

During the period under report the development phase for Version 1 of the Professional Standards Information System has been completed. System acceptance testing and data migration phases will commence in 2005 with the objective being to populate the system with data and implement it by June 2005. All relevant data available from 1 July 2004 will be used in the data population process to ensure the reporting functionality of the system is available for the 2004-2005 financial year.

Objective: To develop and progressively implement a stakeholder education strategy.

During the period under report a stakeholder education strategy has been developed for implementation. Correspondence to establish a program of education with key medical stakeholders is currently being finalized and will be progressed in 2005.

Objective: To enhance administrative procedures and protocols.

During the period under report the Unit commenced reviewing the effectiveness of the present Mandatory Disclosure Information Sheet and developed a procedure manual for breath alcohol testing. In the next reporting period, the Unit will focus on: (a) implementing the Medical Board's requirements for supervised practice; (b) developing an evaluation form to obtain feedback from workplace supervisors; and (c) commencing evaluation of the requirements for supervised practice.

Statistical Data

There were a total of 26 new referrals to the service during the period under report, while 10 practitioners were discharged from the program. In addition, two investigations were conducted during the period, one of which was with the panel of external investigators. Of the two investigations, one was concluded during the period under report and one remains ongoing. The latter of these will be completed early in 2005.

Professional Advice and Support Services

This service utilizes professional knowledge and expertise to provide high level advice and support on matters related to the Board's functions under relevant legislation. Among the services provided by the Office are: (a) advising the Boards on their obligations under statutes and government guidelines, (b) assisting the Boards in negotiating amendments to primary and subordinate legislation; (c) organizing seminars and attending conferences on behalf of the Boards; and (d) representing the Boards in various forums within Queensland, nationally and internationally.

This report identifies the objectives stated in the *Operational Plan 2004-2005*, the activities undertaken to meet the objectives and outcomes achieved.

Objective: To finalise development of a policy position on 'Recency of Practice' and prepare an implementation strategy.

During the period under report all Boards, in considering a submission to progress this objective, approved: (a) the Recency of Practice Discussion paper and its utilization as the basis for consultation with stakeholders to define recency of practice for the purposes of renewal of registration; and (b) the process for seeking Cabinet approval for release of the Discussion Paper and the ensuing stages of the Project.

To date all activities of the project are on schedule for the Paper to be released in January 2005. In this regard: (a) the Minister sought and received the Premier's approval for release of the Paper without it being considered by Cabinet; and (b) the Paper has been professionally designed, laid out and printed.

Objective: To finalise development of an integrated communication strategy for all Boards specifically addressing newsletters and the release of standards/guidelines developed or adopted by the Boards.

This objective was not progressed during the period under report. The objective will be progressed during 2005. It should be noted that as detailed in the *Annual Report 2003-2004*, the structure and content of the annual reports was significantly enhanced prior to their publication in November 2004. In addition, the Corporate Style Guide was fully implemented during the period under report, including design and printing of Board letterheads and implementation of the Boards' corporate logos.

Objective: To assist the Boards in implementing any requirements identified from the Board governance self-assessment.

During the period under report the twelve Boards which had undertaken the Governance Self Assessment considered the resultant report and recommendations. In considering their specific reports each Board endorsed both the results and the strategies proposed to address the opportunities for improvement identified.

The Office will continue to assist each Board in implementing these strategies and the success of such will be measured through re-administration of the self assessment in future years.

Objective: To inform, negotiate and implement amendments to the *Health Practitioners (Professional Standards) Act 1999* and the registration Acts.

During the period under report a workshop of internal staff was held to identify those provisions in the *Health Practitioners (Professional Standards) Act 1999* and the registration Acts which required amendment. In addition, the chair of each Board and Board committee was consulted for the same purpose. The legal firms providing services to the Boards were also requested to identify such provisions.

The data generated from the above noted activities has been used as the basis for developing a Policy Paper on Legislative Amendments. The final draft of this Policy Paper was completed by December 2005 and is currently being settled by the Executive Officer and the Complaints Co-ordinator. When settled the Policy Paper will be submitted to each Board for consideration prior to the commencement of negotiations with the Legislative Projects Unit, Queensland Health. It is expected that this submission will be forwarded to each Board from May 2005.

Objective: To inform, negotiate and implement a realistic policy for fees established under the Regulations of each registration Act.

During the period under report negotiations were initiated with a potential contractor for the preparation, as directed by the Executive Officer, of a policy submission to the Minister and the Cabinet in regard to this objective.

Unfortunately the contractor was not engaged as he was unable to demonstrate a clear understanding of the policy objectives. Action will be initiated in 2005 to identify a further contractor with the necessary knowledge, skills and abilities, to undertake this task.

The Boards should also note that the Executive Officer has consulted with the Minister's Senior Policy Advisor, who has indicated that a submission of this nature would be supported for the Minister's consideration.

In the interim to achieving a policy change, the Executive Officer has continued to progress relevant fee changes consistent with the current government policy. In this regard: (a) annual CPI increases to 12 Boards' fees have been sought and approved; (b) a new fee for the review of probationary conditions of psychologist registrants has been sought, approved by the Minister and will be considered by the Cabinet Budget Review Committee in 2005 for approval; and (c) a Ministerial submission is currently being prepared to seek approval for an above CPI increase to the annual registration fee for psychologists.

Objective: To schedule and undertake reviews of service standard measures.

This objective has not been progressed during the period under report for a number of reasons. Firstly, the current information system (REGIS) is significantly lacking in its reporting functionality. In

the absence of software based data capture for reporting purposes it is extremely cost ineffective in staff resources to introduce a paper based method. This issue will be addressed should the Boards agree to the recommendation ensuing from the Registration Review Project that a new system for registration and registrant management be developed and implemented.

Secondly, the *Service Agreement 2003-2006* is to be reviewed in the 2005-2006 reporting period. The services and service standards will be reviewed as a component of that objective which will be included in the operational plan for the period.

In lieu of this activity, the Office has focused on developing the tools for measuring achievement of the key performance indicators detailed in *Strategic Plan 2004-2008*. In this regard, the following Internet based survey tools have been completed: (a) Board's Assessment of the Office; (b) Registrant's Assessment of the Office; (c) Industry's Assessment of the Boards; (d) Board's Governance Self Assessment Tools; and (e) Staff's Assessment of the Office.

The Office has administered the Governance Self Assessment and Staff Assessment tools, the results of which have informed some developments in the *Operational Plan 2005-2006*. A plan for administration of the remaining surveys will be completed in the next reporting period.

Objective: To commence a review of services to ensure they are accessible to all ethnic communities.

During the period under report an internal working party was established to undertake the review.

The report and recommendations of the working party is currently being completed for consideration of the Senior Management team in 2005. Those recommendations approved by the Senior Management team will be implemented prior to June 2005.

Objective: To continue to develop and implement strategies to improve the work environment and enhance intra Office communication.

During the period under report this objective has progressively been implemented. In this regard: (a) monthly all of staff meetings have continued; (b) a monthly meeting of all Deputy and Assistant Registrars has been convened by the Executive Officer; and (c) an education strategy in change management has been commenced with the Senior Management Team.

Corporate Support Services

This service manages all corporate support services of the Office and the Boards including: (a) human resource management; (b) financial management; (c) information technology; (d) records management; and (e) freedom of information processes. In addition to the matters detailed under each sub-service, corporate support services has: (a) developed and implemented policies on corporate cards, purchasing and Qantas Club membership; (b) managed the negotiations and co-ordinated the design for refurbishment of the Office; (c) implemented accumulated time arrangements for the organization; and (d) reviewed the position descriptions for all positions within corporate services and re-designated nine positions.

Human Resource Management Services

This sub-service provides all human resource management services to enable the Office to deliver its services to Boards and their clients. This report identifies the objectives stated in the *Operational Plan 2004-2005*, the activities undertaken to meet these objectives and outcomes achieved.

Objective: To develop a procedure manual for each position in the Corporate Services Unit.

During the period under report all positions in the Corporate Services Unit have developed their procedure manual. Such manuals will contribute to the delivery of quality services by: (a) providing a basis for induction and staff training; (b) ensuring the knowledge is documented and available even though the relevant staff member is not; and (c) ensuring consistency in the application of like and related procedures.

Objective: To review and enhance the induction policy and procedures (with a specific focus on induction in each Unit).

During the period under report the induction policy and procedures has been reviewed and modified as necessary. Ensuing from the review is a Corporate Induction Manual, the use of which will ensure that all new permanent and long term temporary staff are properly inducted to the organisation, the Unit in which they will work and to the position to which they have been assigned. The Manual will be introduced from January 2005.

Objective: To refine and re-focus staff development and training.

During the period under report the *Training Plan 2004-2005* was developed and implemented. The Plan focuses on achieving a balance between large group and individual training. It is also anticipated that a component of the training budget will be devolved to each Unit/Team Manager from 2005-2006 to enhance performance based training needs.

In the period under report the following training initiatives have been undertaken.

Activity	Date
Medico-Legal Society of Qld Annual Conference	31 July - 1 August 2004
IFRS – Preparing for change in the public sector	17 August 2004
Writing Reports of Investigations (Connected Learning)	19 & 20 August 2004
Change Management for Facilitators (Access Qld)	24 - 25 August 2004
Contact Officer Training (Council for Equal Opportunity in Employment Ltd)	15 September 2004
MS 2273, Managing and Maintaining a MS Win 2003 Server Environment (IT & T Education)	13 - 17 September 2004
Investigation Methods Course (EDS)	21 – 23 September 2004
Word Advanced (Institute of Applied Education)	4 October 2004
Excel Intermediate (Institute of Applied Education)	6/7 October 2004
Excel Advanced (Institute of Applied Education)	11 October 2004
MS2072, Administering an MS SQL Server 2000 Database (IT & T Education)	11 - 15 October 2004
PowerPoint ½ day (Institute of Applied Education)	13 October 2004
IFRS – A Guide to First Time Adoption (CPA)	14 October 2004
Word Intermediate (Institute of Applied Education)	14 - 15 October 2004
Telephone skills (Caroline Jeffs to run in-house for complaints unit)	22 October 2004
All of Staff meeting – FOI – overview (Qld Health)	28 October 2004
MS2400, Implementing and Managing MS exchange server 2003 (IT & T Education)	1 - 5 November 2004
Debriefing skills and client aggression (IPAA)	4 November 2004
Corel Draw Intermediate (IT&T Education)	8 November 2004

Activity	Date
Access Introductory (Odyssey Training)	11 & 12 November 2004
Access Advanced (Odyssey Training)	15 & 16 November 2004
Introduction to Health and Safety for WH&S committee members (Safe Work College)	22 November 2004
Customised training in Drafting Particulars and grounds for disciplinary action, Particulars and executive warrants, Statutory interpretation, Using legal research tools, Procedural fairness, Rules of evidence (Crown law)	25 November 2004
Magic Minutes (IPAA)	30 November 2004
Practical Business Writing (IPAA)	8 December 2004
Rehabilitation Coordinator Training (NCSA)	13 - 15 December 2004

Financial Management Services

This sub-service includes provision of all financial management services to the Boards to ensure compliance with relevant statutory financial management requirements. The sub-service includes: (a) revenue, accounts receivable and reconciliation; (b) expenditure and accounts payable; (c) maintenance of assets register; (d) administration of taxation compliance; (e) financial system development and maintenance; and (f) budget preparation and statutory reporting. This report identifies the objectives stated in the *Operational Plan 2004-2005*, the activities undertaken to meet these objectives and outcomes achieved.

Objective: To evaluate the internal audit function including the need to establish an internal audit committee.

During the period under report the Financial Management Committee undertook the required review. The review identified that: (a) the internal audit function had contributed to positive corporate governance outcomes, particularly in regard to financial management external audit outcomes; (b) the *Internal Audit Operational Plan 2004-2005*, which has now been completed, would include the audit of non-financial procedures and systems consistent with the Office's commitment to continuous improvement; and (c) at this time, an internal audit committee was not required given the role and responsibilities of both the Senior Management Team and the Financial Management Committee.

Objective: To develop and implement financial systems appraisals.

During the period under report relevant staff have researched the policy and procedure framework required to introduce financial systems appraisals which would be appropriate to the Office. This research will be utilized to develop a draft policy and procedure for consideration by the Financial Management Committee in the second half of the financial year.

Objective: To implement all requirements of the International Financial Reporting Standards ('IFRS').

During the period under report all required activities for transition to the International Financial Reporting Standards have been completed.

Objective: To evaluate the five year financial modelling and its integration with the budget.

During the period under report the objective has been achieved. In this regard the modelling and its integration with the budget was evaluated through the initial budget reviews prepared for Board consideration at the end of the first quarter of the financial year.

The evaluation found that the modelling was accurate, the process for budget review was simple and cost effective (particularly in regard to use of staff resources) and the modeling and review process significantly contributed to good corporate governance.

Consultancies

Section 95(1)(eb), *Financial Management Standard 1997* requires every public sector agency to include in its Annual Report, information about the agency's expenditure on consultancies. During the period under report, the Office expended the following amounts on consultants:

▪ Management	-
▪ Human resource management	-
▪ Information technology	-
▪ Finance/accounting	\$13,552
▪ Professional/technical	-

Internal Audit Report(s)

Appendix 2 - Reproduces the Internal Audit Report for the period to 31 December 2004.

Information Technology Services

This sub-service develops and maintains technological resources to enable the Office to deliver its services to the Boards and their clients. This report identifies the objectives stated in the *Operational Plan 2004-2005*, the activities undertaken to meet these objectives and outcomes achieved.

Objective: To implement the approved recommendations relating to REGIS from the Business Process Review of registration services.

This objective has not been progressed during the period under report as the Office is yet to consider the Report and recommendations of the Registration Review Project. However, relevant staff have contributed to the development of the user business requirements and software specification being utilized as the basis of the Expression of Interest to source a contractor for the development and implementation of a new registration and registrant management system.

Objective: To establish a portal server to enable delivery of on-line corporate services.

During the period under report work has commenced for implementation of on-line portal services. Such implementation will be informed by a full business design, a beta version of which has been completed.

Objective: To develop and implement policy and procedures for archiving of electronic documents.

This objective will be progressed during the second half of the financial year.

Objective: To evaluate the telephone system and propose costed options for enhancement of client service.

During the period under report Information Technology and Purchasing staff have undertaken investigations to inform the options available. A proposal in this regard will be considered by the Executive Officer in 2005.

Objective: To continue implementation of the Project for an integrated website for the Boards and the Office.

During the period under report the project for development of an integrated website for the Boards and the Office was continued and is due for completion in early 2005. Upon completion, all Board websites will spawn off a single database driven Internet application. Implementation of a single database will allow Board support staff to manage and maintain the website content and significantly decrease the time required to maintain by at least a factor of 13.

While this project has progressed, a number of Board websites have been modernized in order to enhance the satisfaction of website users.

Records Management Services

This sub-service manages all records on behalf of the Office and the Boards to ensure: (a) efficient access to stored information; (b) storage and release of information is consistent with relevant legislative requirements; and (c) records are accurately, contemporaneously and completely maintained. This report identifies the objective stated in the *Operational Plan 2004-2005*, the activities undertaken to meet this objective and outcomes achieved.

Objective: To finalise implementation of the approved recommendations from the records management evaluation project.

During the period under report the majority of the recommendations of this project have been implemented. In this regard the (a) cull for non-current registration files has now been completed; (b) transfer of current registrant files prefixed '7' of the Medical Board has been progressed for completion by June 2005; (c) review of the Records Management Policy and Procedures Manual has been, and will continue to be, ongoing; (d) review of the file storage and compactus space has been completed; and (e) absorption of unrecorded business files continues.

The remaining recommendations related to enhancing the current paper based filing system and investigating use of a computer based tracking system. These recommendations will not be progressed as the Office will focus on the development and implementation of an electronic data storage system consistent with the recommendations ensuing from the Registration Review Project.

Objective: To finalise the review of the role, responsibilities and organisation of information management.

During the period under report this objective has been achieved. In this regard each team (Information Technology Services and Records Management Services) have established: (a) which Information Standard the Teams are responsible for; and (b) a process of consultation in implementing all activities required to ensure compliance with the Standards.

Freedom of Information Services

This sub-service manages all processes required under the *Freedom of Information Act 1992* to ensure each Board and the Office meet their obligations and responsibilities under that legislation.

During the period under report, the Office processed 28 applications on behalf of the Boards. In processing such applications, 6903 documents were reviewed for decision-making purposes. Of the 28 applications processed, 22 were made to the Medical Board, three were made to the Psychologists Board, one was made to the Chiropractors Board, one was made to the Dental Board and one was made to the Pharmacists Board. Of the 6903 documents reviewed, 6201 documents

were either partially or fully disclosed to the applicant.

Three applicants applied for internal review of the access decision to the Office during the period under report. One application for external review was made to the Information Commissioner during this period. At the beginning of the period there was one external review application awaiting the Information Commissioner's decision. During the period the Information Commissioner finalized one external review application, thus leaving an outstanding balance of one external review application still under consideration at the end of December.

Appendix 1

Data Tables

Table 1: Number of Registrants as at 30 June 2002, 2003, 2004 and 31 December 2004

Register	30/6/2002	30/6/2003	30/6/2004	31/12/2004
Chiropractors	550	568	615	616
Dentists	2017	2141	2282	2254
Dental Specialists	226	235	257	266
Dental Auxiliaries*	-	-	-	530
Dental Technicians	658	684	709	685
Dental Prosthetists	142	143	144	145
Medical Practitioners	8231	8512	8696	8645
Medical Practitioners and Specialists	3931	4023	4216	4189
Radiation Therapists**	-	207	232	239
Medical Imaging Technologists**	-	1350	1505	1530
Nuclear Medicine Technologists**	-	64	91	88
Occupational Therapists	1429	1545	1695	1717
Optometrists	726	776	824	825
Osteopaths	86	80	83	93
Pharmacists	3590	3712	3893	3970
Physiotherapists	2809	2908	3104	3106
Podiatrists	324	343	374	392
Psychologists	3073	3302	3579	3619
Speech Pathologists	837	862	940	940
TOTAL	28629	31455	33239	33849

* Registration for Dental Auxiliaries was established under the *Dental Practitioners Registration Act 2001* from 2004.

** The Medical Radiation Technologists Board, which was constituted on 12 May 2002, had no registrants as at 30 June 2002 as the Register for the three professions was in its initial development stages.

Table 2: New Registrations Approved in the Period 1 July 2004 – 31 December 2004

Register	Trans-Tasman Mutual Recognition	Mutual Recognition (Australia)	Non Mutual Recognition	Total
Chiropractors	1	11	17	29
Dentists	6	24	65	95
Dental Specialists	-	3	1	4
Dental Auxiliaries*	-	9	517	526
Dental Technicians	-	-	19	19
Dental Prosthetists	-	1	-	1
Medical Practitioners**	-	196	1387	1583
Medical Practitioners and Specialists**	-	13	146	159
Medical Imaging Technologists	2	4	105	111
Nuclear Medicine Technologists	-	1	4	5
Radiation Therapists	-	-	18	18
Occupational Therapists	4	2	98	104
Optometrists	2	10	32	44
Osteopaths	2	8	7	17
Pharmacists	3	48	119	170
Physiotherapists	15	52	103	170
Podiatrists	-	7	21	28
Psychologists	-	26	92	118
Speech Pathologists***	-	-	41	41
TOTAL	35	415	2792	3242

* Registration for Dental Auxiliaries was established under the *Dental Practitioners Registration Act 2001* from 2004.

** The medical profession is excluded from the legislation for Trans-Tasman Mutual Recognition.

*** Mutual recognition and Trans-Tasman Mutual Recognition are currently not applicable as there is no registration of speech pathologists in other Australian States/Territories or in New Zealand.

**Table 3: Number and Type of Meetings Serviced by the Office In the Period
1 July 2004 – 31 December 2004**

Board	<u>Ordinary Board Meetings</u>	<u>Special Board Meetings</u>	<u>Committee Meetings</u>	<u>Disciplinary Proceedings by Board/Board Committees</u>	<u>Total</u>
Chiropractors	6	-	-	1	7
Dental	6	-	21	-	27
Dental Technicians & Dental Prosthetists	3	-	3	-	6
Medical	12	1	32	4	49
Medical Radiation Technologists	5	-	3	-	8
Occupational Therapists	6	1	1	-	8
Optometrists	6	-	-	-	6
Osteopaths	2	-	-	-	2
Pharmacists	5	-	-	2	7
Physiotherapists	5	1	4	1	11
Podiatrists	3	-	-	-	3
Psychologists	6	2	14	10	32
Speech Pathologists	6	-	3	-	9
TOTAL	71	5	81	18	175

**Table 4: Complaints*/ Investigations pursuant to *Health Practitioners
(Professional Standards) Act 1999* as at 31 December 2004**

Board	<u>Number of Investigations as at 1/7/04</u>	<u>Number of Complaints* Received to 31/12/04</u>	<u>Number of Investigations Commenced to 31/12/04</u>	<u>Number of Investigations Completed to 31/12/04</u>	<u>Number of Investigations as at 31/12/04</u>
Chiropractors	4	8	2	3	3
Dental	6	12	2	3	5
Dental Technicians and Dental Prosthetists	1	1	-	-	1
Medical	175	116	35	52	158
Medical Radiation Technologists	-	-	-	-	-
Occupational Therapists	2	1	-	2	-
Optometrists	-	1	-	-	-
Osteopaths	1	-	-	1	-
Pharmacists**	18	27	15	11	22
Physiotherapists	-	2	1	-	1
Podiatrists	3	3	2	-	5
Psychologists	20	25	7	3	24
Speech Pathologists	-	-	-	-	-
TOTAL	230	196	64	75	219

* Complaints: for the purposes of this table, the data includes complaints as well as other information received. This is because a Board can determine to investigate a matter on the basis of information received which is not in the form of a complaint.

** The number of open investigations as at 1 July 2004 was reported as 7. This was a discrepancy, the most likely cause of which relates to the confusion that may arise regarding investigations that may be completed at the end of the reporting period but are not yet closed; where, for example, the report of the investigator has been adopted by the Board but not yet reviewed by the Commissioner. Such investigations may be considered open when completing the 2003-4 statistics but closed when compiling interim statistics for the current reporting period. Also complaints referred to the Health Rights Commission for assessment may also be inadvertently assigned to an 'open' category. The database tracking of investigations will remove these and other errors from the compilation of statistics relating to the management of investigations.

**Table 5: Comparison of Outstanding Investigations as at 1 July 2002, 2003, 2004
and as at 31 December 2004**

Board	<u>Number of Investigations as at 1/7/02</u>	<u>Number of Investigations as at 1/7/03</u>	<u>Number of Investigations as at 1/7/04</u>	<u>Number of Investigations as at 31/12/04</u>	<u>% Change 1/7/02 – 31/12/04</u>
Chiropractors	14	5	4	3	↓ 78.4%
Dental	27	19	6	5	↓ 81.5%
Dental Technicians & Dental Prosthetists	4	1	1	1	↓ 75%
Medical	237	233	175	158	↓ 33.3%
Medical Radiation Technologists	-	-	-	-	-
Occupational Therapists	-	-	-	-	-
Optometrists	-	-	-	-	-
Osteopaths	-	-	1	-	↓ 100.0%
Pharmacists	28	11	18	22	↓ 21.4%
Physiotherapists	1	-	-	1	-
Podiatrists	5	4	3	5	-
Psychologists*	20	18	20	24	↑ 20%
Speech Pathologists	1	-	-	-	↓ 100%
TOTAL	337	291	217	219	↓ 35%

* This increase is being closely monitored and the Complaints Co-ordinator advises that plans are in place to complete a significant number of Investigations by 30 June 2005.