

Hong Kong Institute of Speech Therapists Limited	Document No.	HKIST-A-RMP-v1
	Issue Date	18/09/2017
Risk Management Policy	Review Date	17/09/2020
	Page	1 of 14

# Risk Management Policy

Version	Effective Date
1.0	

<b>Document Number</b>	<b>HKIST-A-RMP-v1</b>
<b>Author</b>	<b>HKAST AR Sub-committee</b>
<b>Custodian</b>	<b>Chairperson of HKIST Professional Council</b>
<b>Approved / Endorsed By</b>	<b>HKIST Professional Council</b>
<b>Approval Date</b>	<b>18/09/2017</b>

Hong Kong Institute of Speech Therapists Limited	Document No.	HKIST-A-RMP-v1
	Issue Date	18/09/2017
Risk Management Policy	Review Date	17/09/2020
	Page	2 of 14

## 1.0 Objective

This document outlines the structure, process, and outcome measures of risk management adopted by Hong Kong Institute of Speech Therapists Limited (HKIST). Traditionally, the speech therapy profession was believed to be of relatively risk-free among health services. However, the expanded scope of practice of speech therapy, the heightened concern on infection control and the increased demand of the general public for safe and effective service delivery call for mechanism to address risk management and continuous performance improvement. Risk management is therefore a high priority issue for speech therapists. The risks associated with the practice of speech therapists are classified into four areas of concern:

- i. Safety of service users and the public;
- ii. Professional behaviour, technical competence, and personal safety of the registrants;
- iii. Impact on the public image and development of the speech therapy profession;
- iv. Responsibility and liability of HKIST, and the Register

## 2.0 Scope

This policy provides guidance for all speech therapists to manage risks.

## 3.0 Definitions

- 3.1 Risk is defined as “the effect of uncertainty on objectives”. Any uncertainties that affect the provision of quality speech therapy service, are called risks.
- 3.2 Risk management is the management of these uncertainties.
- 3.3 Quality speech therapy service can be defined as client-centered, safe, timely, effective, efficient, and equitable.

## 4.0 Risk Management Framework

- 4.1 The risk management framework adopts a proactive stance to identify and manage risks related to business, finance, human resources, environment, information management and service provisions of speech therapy practice. Risk management should be implemented in daily

Hong Kong Institute of Speech Therapists Limited	Document No.	HKIST-A-RMP-v1
	Issue Date	18/09/2017
Risk Management Policy	Review Date	17/09/2020
	Page	3 of 14

operation and planning. All staff and client participation are encouraged to engage in risk management.

4.2 The risk management framework is consisted of the following continuous process:



- i. Identify risks: identifying actual risks and potential risks;
- ii. Analyze risks: analyzing risks by using a Risk Matrix;
- iii. Develop risk control strategies: developing strategies to avoid, manage, and mitigate risks and report incidents to the risk register;
- iv. Implement risk control strategies: communicating strategies to stakeholders and implementing risk management techniques and systems;
- v. Review with evidence: Monitoring the effectiveness of risk control strategies by gathering information and acting upon them.

## 5.0 Risk analysis and prioritization

- 5.1 Risks identified should be analyzed by appraising the likelihood of occurrence and the potential consequence (Appendix I).
- 5.2 The Risk Matrix is used as the tool to record and quantify risks identified (Appendix II).
- 5.3 Prioritization of risks should then be conducted with consideration of the risk rating, criticality, tolerability of the risk, existence and effectiveness of control measures.

Hong Kong Institute of Speech Therapists Limited	Document No.	HKIST-A-RMP-v1
	Issue Date	18/09/2017
Risk Management Policy	Review Date	17/09/2020
	Page	4 of 14

## 6.0 Risk Classification and Identification in Speech Therapy

- 6.1 Risks defined by HKIST are classified into four areas (Appendix III):
- i. Risk pertaining to Speech Therapy profession
  - ii. Risk pertaining to Accredited Speech Therapists
  - iii. Risk pertaining to Hong Kong Institute of Speech Therapists
  - iv. Risk pertaining to the Register of Accredited Speech Therapists
- 6.2 Speech therapists should notice the common clinical risks in speech therapy service identified across settings and across target populations (Appendix IV). For instance, risks in education settings in speech and language intervention of children with impairments (e.g. autistic spectrum disorders, cerebral palsy) may be different from risks in hospital settings in swallowing management of adults with various diseases (e.g. stroke, dementia, respiratory diseases)
- 6.3 Speech therapists should also aware of the non-clinical risks that are identified for the speech therapy profession (Appendix V).

## 7.0 Risk Register

- 7.1 The risks should be avoided continuously. The Risk Registry is used for documenting the major risk management process, including risk identification, analysis, and control, targeting at risks avoidance and mitigation. The following components should be included in the Risk Registry:
- i. Description of the risk
  - ii. Risk analysis (likelihood, consequence, rating), and prioritization
  - iii. Control measures / quality improvement program / annual plan
  - iv. Person in-charge of the risk management
- 7.2 HKIST keeps an annual record of the Risk Registry. Speech therapists should report to HKIST by submitting the Risk Registry Entry Form regarding their risk as appropriate, especially when new risks are identified. The Risk Registry Entry Form can be retrieved at HKIST website (Appendix VI).
- 7.3 The HKIST Risk Registry is accessible in HKIST website and should be communicated to all relevant staff in speech therapy clinics.

Hong Kong Institute of Speech Therapists Limited	Document No.	HKIST-A-RMP-v1
	Issue Date	18/09/2017
Risk Management Policy	Review Date	17/09/2020
	Page	5 of 14

## **8.0 Handbook of Risk Management Procedures**

8.1 Risk management is the responsibility of every speech therapist regardless of work setting. A handbook of risk management procedures should be available in every work setting for all speech therapist, staff, and student clinicians. The handbook should cover the following:

- i. Safety and security precautions;
- ii. Incidents and accidents prevention strategies;
- iii. Report mechanism to HKIST Risk Register;
- iv. Infection control; and
- v. Education of registrants and service users.

8.2 Annual review of this handbook of quality and risk management procedures should be conducted and documented. Procedures should be revised should such need arises.

## **9.0 Quality improvement framework**

9.1 Upon identification and analysis of risks, HKIST carries out quality improvement programs as risk control measures to mitigate risks. A member of the Board of Council will be designated to take charge of the program. The start, review, completion dates and action plans of the program should be documented clearly (Appendix VII).

9.2 Members of the Board of Council audit of the quality improvement programs triennially.

## **10.0 References**

- 10.1. Developing and Populating a Risk Register Best Practice Guidance. Health Service Executive 2009.
- 10.2. Organization Wide Risk Management, Hospital Authority Head Office.

Hong Kong Institute of Speech Therapists Limited	Document No.	HKIST-A-RMP-v1
	Issue Date	18/09/2017
Risk Management Policy	Review Date	17/09/2020
	Page	6 of 14

## Appendix I

### Risk Likelihood Table

Level	Likelihood Descriptor	Description/ Time Scale for ongoing non- project activities or exposures	% Chance during life of project or financial year for budget risk	Per Separations/ Occasions of Service
5	Almost certain	<ul style="list-style-type: none"> <li>Expected to occur in most circumstances</li> <li>Expected to occur at least monthly</li> <li>i.e. at least twelve (12) times per year</li> </ul>	Over 95%	1 or more in 10
4	Likely	<ul style="list-style-type: none"> <li>Probably occur in most circumstances</li> <li>May occur in every few months</li> <li>i.e. up to twelve (12) times per year)</li> </ul>	>60% - 95%	1 in 100
3	Occasional	<ul style="list-style-type: none"> <li>Probably will occur in time</li> </ul>		1 in 1,000

Hong Kong Institute of Speech Therapists Limited	Document No.	HKIST-A-RMP-v1
	Issue Date	18/09/2017
Risk Management Policy	Review Date	17/09/2020
	Page	7 of 14

		<ul style="list-style-type: none"> <li>• May occur once in every 1 – 2 years</li> </ul>	>30% - 60%	
2	Unlikely	<ul style="list-style-type: none"> <li>• Possible to occur in time</li> <li>• May occur once in every 2 – 5 years</li> </ul>	>5% - 30%	1 in 10,000
1	Remote	<ul style="list-style-type: none"> <li>• May occur only in exceptional circumstances</li> <li>• May occur once in every 5 years or more</li> </ul>	Up to 5%	1 in 100,000 or more

Hong Kong Institute of Speech Therapists Limited	Document No.	HKIST-A-RMP-v1
	Issue Date	18/09/2017
Risk Management Policy	Review Date	17/09/2020
	Page	8 of 14

## Appendix II

### Risk Matrix

		Consequence				
Likelihood		Insignificant	Minor	Moderate	Major	Extreme
Likelihood	Score	1	2	3	4	5
Almost certain	5	5	10	15	20	25
Likely	4	4	8	12	16	20
Possible	3	3	6	9	12	15
Unlikely	2	2	4	6	8	10
Remote	1	1	2	3	4	5
Risk Ranking	Low	1-5	Moderate	6-12	High	15-25



Hong Kong Institute of Speech Therapists Limited	Document No.	HKIST-A-RMP-v1
	Issue Date	18/09/2017
Risk Management Policy	Review Date	17/09/2020
	Page	9 of 14

## Appendix III

### Risk Classification

Risk Classification	Examples of Common Risks
Risk pertaining to Speech Therapist profession	Lack of confidentiality Insufficient safety Side effect of treatment Inadequate availability and accessibility of service Conflict of interest
Risk pertaining to Accredited Speech Therapists	Delay of assessment/treatment Wrong diagnosis Miscommunication with clients/carers Inappropriate equipment handling Poor documentation Infection Control
Risk pertaining to HKIST	Financial crisis Litigation
Risk pertaining to the Register of Accredited Speech Therapists	Lack of accessibility of Register Outdated Register Inaccurate information in the Register Inadequate consultation in decision making of educational standards Lack of procedures policy in inclusion and exclusion of registrants

Hong Kong Institute of Speech Therapists Limited	Document No.	HKIST-A-RMP-v1
	Issue Date	18/09/2017
Risk Management Policy	Review Date	17/09/2020
	Page	10 of 14

## Appendix IV

### Common Clinical Risks in Speech Therapy

Top risks (in order of risk score)	
Label	Risk description
<b>Asp</b>	Aspiration
<b>Fall</b>	Fall with fractures (elderly)
<b>Inj</b>	Injury/fall due to impulsivity (children)
<b>PI</b>	Patient identification
<b>EQ</b>	Inappropriate use of equipment
<b>Dx</b>	Wrong diagnosis
<b>WT</b>	Waiting time
<b>IC</b>	Infection control
<b>MC</b>	Miscommunication

		Consequence				
Likelihood		Insignificant	Minor	Moderate	Major	Extreme
Likelihood	Score	1	2	3	4	5
<b>Almost certain</b>	<b>5</b>		WT			
<b>Likely</b>	<b>4</b>	MC	IC	Inj	Asp	
<b>Possible</b>	<b>3</b>			PI EQ	Fall	
<b>Unlikely</b>	<b>2</b>			Dx		
<b>Remote</b>	<b>1</b>					

Hong Kong Institute of Speech Therapists Limited	Document No.	HKIST-A-RMP-v1
	Issue Date	18/09/2017
Risk Management Policy	Review Date	17/09/2020
	Page	11 of 14

## Appendix V

### Common Non-Clinical Risks in Speech Therapy

Top risks (in order of risk score)	
Label	Risk description
MH	Manual handling
DP	Data security and privacy
WV	Workplace violence
LI	Litigation
FR	Financial risk
SE	Security
FD	Facility defect
IT	IT (system/network breakdown)
MS	Manpower shortage (professional & supporting staff)

		Consequence				
Likelihood		Insignificant	Minor	Moderate	Major	Extreme
Likelihood	Score	1	2	3	4	5
Almost certain	5			DP	MH	
Likely	4		FD IT			
Possible	3		MS	FR SE	WV	
Unlikely	2				LI	
Remote	1					

Hong Kong Institute of Speech Therapists Limited	Document No.	HKIST-A-RMP-v1
	Issue Date	18/09/2017
Risk Management Policy	Review Date	17/09/2020
	Page	12 of 14

## Appendix VI

### Risk Registry Entry Template

Risk	Name	Nature of risk/Safety concerns	Description of Quality/ Safety concerns	Estimated Consequences	Estimated Likelihood	Risk Rating	Risk Ranking	Action plan	Target completion date
1	Aspiration	Clinical	Aspiration of materials during swallowing assessment	Risk of aspiration pneumonia/suffocation	Likely	16	1	STs should follow assessment protocol and have adequate training before independently administer swallowing assessment	1/2018
2	Injury	Clinical	Injury/fall due to impulsivity of pediatric clients	Head/limbs injury	Likely	12	3	Furniture in ST clinics should avoid sharp edges.	1/2018
3	Infection control	Clinical	Risk of transmission of diseases	Infection of clinician or cross infection to clients	Likely	8	8	STs should read and apply the Infection Control Guidelines for Speech Therapy.	1/2018



Hong Kong Institute of Speech Therapists Limited	Document No.	HKIST-A-RMP-v1
	Issue Date	18/09/2017
Risk Management Policy	Review Date	17/09/2020
	Page	14 of 14

## Appendix VII

### HKIST Quality Improvement Program Template

Program Title:	
Person-in-charge:	
Start date:	
Review date:	
Completion date:	
Risk(s) identified:	
Action(s) for improvement:	
Result/outcome:	
Date for audit:	