Document Control Policy

Version	Effective Date
1.0	18/09/2017
2.0	25/08/2022

Document Number	HKIST-A-DCP-v2
Author	**HKIST Director**
Custodian	**HKIST Director**
Approved / Endorsed By	**HKIST Boards of Directors**
Approval Date	**25/08/2022**

1.0 Introduction

To ensure that the Hong Kong Institute of Speech Therapists (HKIST) has a clear governance framework, policies, procedures and guidelines that are practical and relevant to the speech therapy profession need to be developed and implemented. In order to keep these documents up-to-date and effective with the development of the speech therapy profession, review of these documents is to be carried out on a regular basis. To facilitate the management of documents to a higher degree of reliability for security, version, visibility and accessibility, a set of principles of document control is developed.

1.1 Objectives
1.1.1 To ensure that members of the profession and members of the public have access to the most up-to-date copies of the documents related to the speech therapy profession.
1.1.2 To ensure that all controlled documents in use are current, appropriate and regularly reviewed.
1.1.3 To avoid duplication and conflict between controlled documents.
1.1.4 To ensure proper maintenance of current controlled documents and archived past documents.
1.1.5 To ensure that all controlled documents have a consistent format and achieve a consistent standard in document control

1.2 Scope
This policy covers all HKIST documents including policies, frameworks, procedures, guidelines, forms and records.

2.0 Classification of Documents
Policies, procedures, guidelines and related documents are classified according to their content, level of compliance and need for document control.

Class A - Policy
A policy is a statement of the plan of actions adopted by the HKIST, with an intention to influence and determine decisions, actions and other matters.

Class B - Procedures
A procedure is the sequence of actions that follows and supports a particular policy, and is the official and accepted way of doing something.

Class C - Guidelines
Guidelines set out recommendations for preferred practice, which serve to guide individuals in making professional judgement and decisions.

Class D - Transient Documents

Transient documents mainly serve the purpose of correspondence and therefore are transient in nature. They should be managed according to chronological order and destroyed after a designated period of time.

The following table summarizes the status for compliance and need for document control for different classes of documents:

Class	Term	Document Control	Status for Compliance
A	Policy	Yes	Mandatory
B	Procedure	Yes	Mandatory
C	Guideline	Yes	Preferred practice
D	Transient documents	No	Variable; Content dependent

3.0 Roles and Responsibilities

3.1 Author
The author of the document should be responsible for ensuring that the document and related documents reflect the current practice and are in line with current good practice. The author should also review existing documents to ensure no duplication or conflicts.

3.2 Custodian
The custodian, usually the chairperson of relevant committees of the HKIST Professional Council, should be responsible for ensuring that relevant documents comply with the practice of the speech therapy profession. The custodian is responsible for maintaining a list of the HKIST documents under their jurisdiction and arrange for circulation of all new and revised documents. Regular monitoring and coordination should be undertaken by the custodian.

3.3 Approving Authority
Upon endorsement by the custodian, all new or revised controlled documents should be approved by HKIST Professional Council, which would in turn inform the HKIST Board of Directors when a new controlled document is developed or when an existing document will be reviewed.

4.0 Development of Document

4.1   Document Format
Documents must be precise and concise. They must include all necessary information, and should be written in plain language and easy to read. Documents should be presented in a standard format as shown in Appendix I.

4.2 Document Control

4.2.1   Document control is mandatory for all Class A (Policy) and Class B (Procedure) documents while Class C (guidelines) documents should be carried out as preferred practice. Hard and soft copies, including those uploaded to the HKIST website should be regularly reviewed and updated. Related subcommittees of the HKIST Council should be responsible to oversee the document control in areas under their jurisdiction.

4.2.2   To facilitate document control, each document should have the following elements:
i.   Issuing party
ii.   Title of document
iii.   Approving authority
iv.   Name of author
v.   Issuing date
vi.   Next review date
vii.   A unique document number in the following format:
        HKIST-Class-XXX-Vn
            Class (e.g. A for Policy, B for Procedure,etc.)
                XXX = Abbreviated name of document
                    Vn = version number
viii.   Summary of changes made (except new documents)

4.3 Development and Approval of Documents
4.3.1   Controlled documents should be developed according to risk prioritization and their impact on the speech therapy profession. High-impact documents in high-risk areas should be developed first and more frequently reviewed.
4.3.2   The custodians should keep a list of current and archived controlled documents
4.3.3   All new documents should follow the document development process as shown in Appendix II. The custodian should follow the process and submit the controlled document to the respective approval authority.

4.4 Dissemination of Documents
All approved controlled documents should be uploaded to HKIST website for the reference of registrants and public. A hard copy of the most current and archived controlled documents should also be kept at the HKIST office.

5.0 Document Review and Monitoring

5.1 Document Review
5.1.1   Controlled documents should be reviewed when change is necessary or at a minimum of once every three years. The subcommittees of which the documents are under their purview should call for a review

at the beginning of the three-year term. All custodians have to work with the authors to review their controlled documents and update where necessary.

5.1.2   For policy, procedures and guidelines documents, consultation for any changes in the main content should be carried out before they are approved by the respective committees.

5.1.3   In order to highlight major changes in the most updated version of the documents to the readers, a summary of changes should be available in each updated document, which shows the updates as compared to the previous version.

5.1.4   Only the most updated documents should be available for registrants or public access. The respective approval committees should also be informed for approving the obsolete of documents.

Appendix I

Document Format

Whole Document:

Electronic Format	Microsoft Word and Acrobat PDF
Fonts	Arial
Alignment	Justify
Line Spacing	Single
Underlining	None (unless for websites)
Header and Footer	Standard as in this document

Cover

Title	Arial font 28 (Bold)
Subtitle (if any)	Arial font 22 (Bold)
Texts in "Version" Box	Arial font 12
Texts in "Author" Box	Arial font 12

Main Body:

Headings	Arial font 14 (Bold)
Main Body	Arial font 12
Subheadings	Arial font 12 (Bold)
Text under subheadings	Arial font 12

Appendix I
Document Formant
(For Classes A, B & C)
Cover Page

Hong Kong Institute of Speech Therapists	Document No.	
	Issue Date	DD/MM/YYYY
Title of Document	Review Date	DD/MM/YYYY
	Page	XX of XX

Title
(Subtitle if any)

Version	Effective Date
1.0	

Document Number	
Author	<<Post and Name>>
Custodian	<<Post and Name>>
Approved / Endorsed By	<<Respective Committees>>
Approval Date	DD/MM/YYYY

Appendix I
Document Formant
(For Classes A, B & C)
Summary of changes

Summary of Changes

	Location	Changes in Version X
1.	Whole document	Revised title of document
2.	Section 1.1	- Added a section 1.1.6 on xxx - Revised wordings in section 1.1.2
3.	Appendix I	Modified Appendix I

Appendix II

Document Development Process

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┌─────────────────────────────┐
│  Document Initiation by     │
│         Author              │
└─────────────────────────────┘
              ↓
┌─────────────────────────────┐
│  Document Endorsement       │
│      by Custodian           │
└─────────────────────────────┘
              ↓
┌─────────────────────────────┐
│  Document Approval by       │
│  Respective Committees      │
└─────────────────────────────┘
              ↓
┌─────────────────────────────┐
│   Custodian informs         │
│    HKIST Council            │
└─────────────────────────────┘
              ↓
┌─────────────────────────────┐
│      Document               │
│    Dissemination            │
└─────────────────────────────┘
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