

Who is this guidance for? This guidance is intended **only** for teams who will be using the ONA Risk Report to identify Serious Risks for people who live in in-home settings. This guidance will not apply to teams who support people who live in residential settings, such as 24-hour residential, Supported Living, or foster care.

Which teams will be using the ONA Risk Report? Services Coordinators and Personal Agents (SC/PAs) who support people in in-home settings will have the option of using the ONA Risk Report to identify Serious Risks, rather than the Risk Identification Tool (RIT). If you live in or support someone in an in-home setting, check with the person's SC/PA to determine which tool will be used to identify Serious Risks. If your team is using the ONA Risk Report, refer to the guidance below. If your team will continue to use the Risk Identification Tool, refer to the RIT guidance in the current [Oregon ISP Instruction Manual](#).

For more information about authorized use of the ONA Risk Report, please view the **ODDS policy transmittal**.

RISK IDENTIFICATION WITH THE ONA RISK REPORT

Express Payment & Reporting System (eXPRS)
 Home My Account Change Password Help Customer Service Log Out
 Logged in as jabin - All my Organizations and Program Areas

Risk Report

Status: Draft
 Legal Name: AXUCD.W. ZUDA
 Client Prime: CX42685B
 Gender: M

Assessment ID: 11006680
 Assessment Status: Approved
 Date Assessment Completed: 5/17/2019
 Assessment Type: Annual (Certified Assessor CNA)
 Last Updated By: Mae Sivas
 Assessor's Name: Alicia Davison

Health and Medical	Serious Risk goes in Plan (if you know what it is addressed)
Aspiration If the person experiences any of the following symptoms and has not already been determined to be at risk of aspiration, a current evaluation by a qualified professional is expected to determine if the person is at risk of Aspiration. Has condition Gastroesophageal Reflux Disorder (GERD) Refuses food or liquids because of food preferences or sensory issues, such as texture or taste.	<input checked="" type="radio"/> Yes <input type="radio"/> No (zeros)
Dehydration If the person experiences any of the following symptoms and has not already been determined to be at risk of Dehydration, a current evaluation by a qualified professional is expected to determine if the person is at risk of Dehydration. Refuses food or liquids because of food preferences or sensory issues, such as texture or taste.	<input checked="" type="radio"/> Yes <input type="radio"/> No (zeros)
Choking No risk identified in this section.	<input checked="" type="radio"/> Yes <input type="radio"/> No (zeros)

The Risk Report of the Oregon Needs Assessment (ONA) is designed to assist teams in identifying any known, Serious Risks that are present in the person's life. The ONA Risk Report alone does not identify Serious

Risks, but instead generates a list of Potential Risk Factors using information from the person's ONA. It is up to the team to look at these Potential Risk Factors and think critically about which Potential Risk Factors are Serious Risks in the person's life, and which are not.

Serious Risk For purposes of the ONA Risk Report, Serious Risks are considered risks that, without specific, individualized support, would likely place the person or others in imminent harm or result in hospitalization, institutionalization, serious financial hardship, or legal action.

Once any Serious Risk is identified, the SC/PA discusses it with the person and their ISP team to identify the best way to address it. Serious Risks that are identified on the ONA Risk Report will be listed by the SC/PA on the person's ISP Risk Management Plan along with a description of what supports are available in the person's life to address it. Read more about the ISP Risk Management Plan on page **Error! Bookmark not defined.**35 of the [Oregon ISP Instruction Manual](#).

The ONA Risk Report can be completed after the person's Oregon Needs Assessment (ONA) has been completed and approved. However, be mindful of changing Serious Risks throughout the year. While the ONA Risk Report is completed initially prior to the ISP meeting, it must also be updated throughout the year if Serious Risks change.

The complete ONA Risk Report is kept in the person's file at the CDDP or brokerage.

WHAT TO EXPECT IN YOUR ROLE

THE PERSON & THEIR LEGAL OR DESIGNATED REPRESENTATIVE

Your input is important to accurately describe your or your family member's support needs and concerns in the service planning process.

IF YOU ARE SUPPORTED BY A PROVIDER ORGANIZATION

Your provider will also share information they are aware of with your SC/PA.

IF YOU NEED HELP SHARING YOUR PERSPECTIVE

You or your legal or designated representative can choose someone else to help you record your perspective. Let your SC/PA know if you want help sharing your perspective.

PROVIDER ORGANIZATIONS PLANNING WITH PEOPLE WHO RECEIVE IN-HOME SUPPORTS

PRIOR TO THE ISP MEETING

You must share information with the person's SC/PA about any known, Serious Risks in the person's life. Communicate any evidence of known, Serious Risks promptly to the SC/PA. Maintain documentation about this communication.

Talk with the SC/PA to find out the best way to share this information.

THROUGHOUT THE YEAR

Prepare and maintain a “Provider Risk Management Strategies” form specific to the location where you support the person. This should include all of the Serious Risks listed on the Provider Service Agreement or ISP Risk Management Plan that are directed to you to support.

- For a visual example of how to capture information from the ISP Risk Management Plan to create the Provider Risk Management Strategies (PRMS) document, please refer to the section titled [“Tips for Creating the Provider Risk Management Strategies Document”](#) at the end of this document.

If the SC/PA disagrees or does not include a risk on the ISP Risk Management Plan that you believe may be a Serious Risk, discuss it further with them. Provide evidence of the issue you are concerned about and document any discussions you have with the SC/PA. Follow your agency’s policies or guidance for resolving issues and disputes between agencies as needed if you feel the difference of opinion puts the person’s health and safety at risk or does not respect the person’s preference.

Notify the person's SC/PA if you observe new or changing risks in the person's life. Identify strategies you can offer to help address these risks and discuss those strategies with the person and the SC/PA.

SC/PAs

SC/PAs have the responsibility for the accurate completion of the ONA Risk Report based on available information. For more information on how to access the person's ONA Risk Report through eXPRS, please see the ODDS document titled **'How to Use the ONA Risk Report'**.

With input from the person and their ISP team, review each section of the ONA Risk Report. Review the Potential Risk Factors and any notes from the ONA Assessor in each section.

Complete the right-hand column of the ONA Risk Report based on information learned through conversations, file review and your knowledge of the person.

If a person does not have an Oregon Needs Assessment (ONA) completed and approved prior to their annual ISP meeting, you will assess risks using the Risk Identification Tool (RIT).

SC/PA ROLE PRIOR TO THE ISP MEETING

The ONA Risk Report will be completed at least annually prior to the ISP meeting.

- If the person receives in-home supports, ask the person, their legal or designated representative, or the people they have chosen to help plan if there are any changes in Serious Risks in the person's life. If you are also conducting the needs assessment for the person, check in on this information at the same time to avoid repetitive conversations with the person and their designated representative(s).
- Providers are expected to share any updates they have about changes in Serious Risks in the person's life. Communicate with the provider to make agreements about how that information should be shared with you.

SC/PA ROLE THROUGHOUT THE YEAR

- Provide a copy of the completed ONA Risk Report to the person or their designated representative. Keep a copy of the most current ONA Risk Report in the CDDP or brokerage files.
- Familiarize yourself with the known, Serious Risks present in the person's life. When monitoring or checking in on the person throughout the year, listen and observe for evidence that those Serious Risks are being effectively supported.
- If the ONA Risk Report needs to be updated, complete a change form. Other team members may also initiate a change form and send it to you for review. Some changes may also prompt an ONA correction or reassessment.
- Continue to keep the ONA Risk Report up-to-date throughout the year if you learn about changes in Serious Risks in the person's life.

REVIEWING POTENTIAL RISK FACTORS

The ONA Risk Report generates a list of “Potential Risk Factors” drawn from the person’s needs assessment. Potential Risk Factors are listed under bolded Section Headings. Based on knowledge of the person and their support needs, as well as conversations with the person and/or their designated representative, the team will respond to each Section Heading by selecting ‘yes’ or ‘no’.

Section Heading	Environmental Safety	Yes
	Water temperature safety: Needs support to adjust water temperature to avoid scalding	: Dakota is at Serious Risk from household chemicals, as they have attempted to drink window cleaner several times
	Household chemical safety: IS at risk of serious injury from household chemicals if the chemicals are not secured	in the past. Dakota needs support with setting a comfortable temperature for their shower/bath, but this is not considered a Serious Risk because they will wait and not get into the tub until someone helps.
	Dakota is at Serious Risk from household chemicals, as they have attempted to drink window cleaner several times in the past.	
	Notes:	

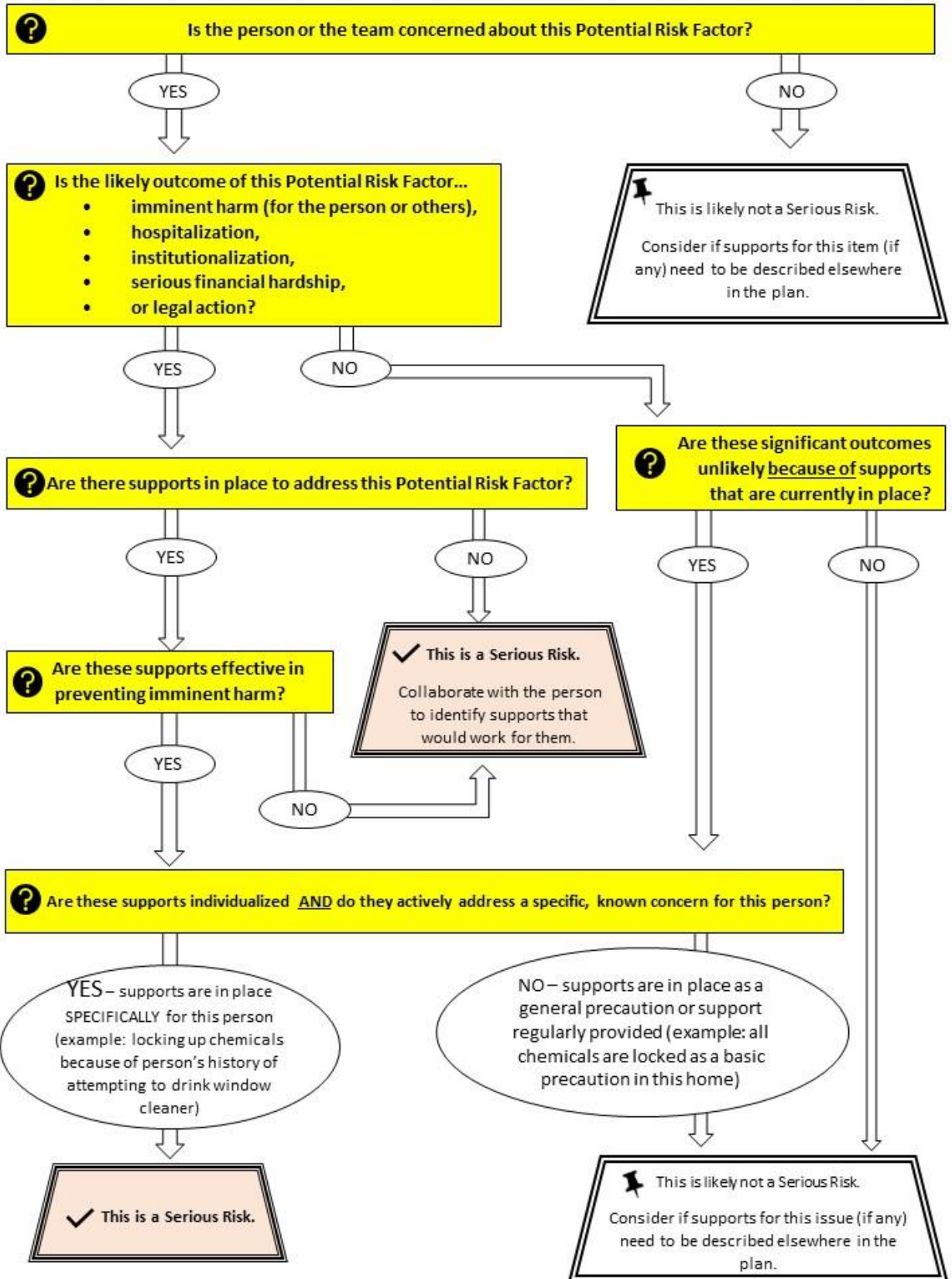
Potential Risk Factors

Comments Box

Final responsibility for completing the ONA Risk Report belongs to the SC/PA. Providers who support the person are expected to communicate with the SC/PA promptly if they observe any changes related to Serious Risks in the person's life.

Guidance for SC/PAs about how to complete the ONA Risk Report can be found in the ODDS document titled 'How to Use the ONA Risk Report'. The section below provides detailed information about *how* to review Potential Risk Factors and decide which are Serious Risks that need to be addressed in the person's ISP. It also provides information about when comments are expected.

This decision tree below is an optional tool to help teams discuss Potential Risks Factors which have generated on a person's ONA Risk Report and determine which Potential Risk Factors are known Serious Risks for the person and which are not. This decision tree is meant to guide conversations and is not a substitute for the team's judgment.



'YES'

Review every Potential Risk Factor listed under each Section Heading of the ONA Risk Report with the person and their team. Mark 'Yes' next to the Section Heading if there is evidence of known, Serious Risk in the person's life.

If any Potential Risk Factor listed under the Section Heading is a Serious Risk for the person, the overall selection for the Section will be 'yes'.

Important Considerations when Identifying Risks:

- Only mark 'yes' for items that the team believes pose a Serious Risk for the person. Serious Risks are considered risks that, without specific, individualized support, would likely place the person or others in **imminent** harm or result in hospitalization, institutionalization, serious financial hardship, or legal action.

WHEN A SECTION HEADING IS MARKED YES: EXPECTED ACTION FOR SC/PA

Record identified Serious Risks in the ISP Risk Management Plan, following guidance provided in 'Transferring Information from the ONA Risk Report to the ISP' (page ##). See 'Risk Management Strategies' (page ##) for more information about addressing Serious Risks.

'No'

Review every Potential Risk Factor listed under each Section Heading of the ONA Risk Report with the person and their team. Mark 'No' next to the Section Heading if none of the Potential Risk Factors listed are Serious Risks for the person.

While the ONA Risk Report generates a list of Potential Risk Factors drawn from the person's needs assessment, do not expect that every Potential Risk Factor will be identified as a Serious Risk for the person. There are many reasons for marking 'No', which are further explored in the examples (link to examples).

ONA Risk Report Section Headings marked 'No' are not listed in the person's ISP Risk Management Plan.

Important considerations when planning with children:

- Do not identify things as Serious Risk that are based on a child's developmental level that are not as a result of the disability, such as holding a child's hand when crossing the street.

USING THE COMMENTS BOX

In each section of the ONA Risk Report, the space under the 'yes' or 'no' selection can be used to record comments. Use this space to record information about why 'Yes' or 'No' was selected in a Section. When writing comments, use language that is respectful to the person.

Comments are expected in the following situations:

- **Use comments** if under a single Section Heading, some Potential Risk Factors are a Serious Risk for the person while others are not a Serious Risk. Use comments to clarify which Potential Risk Factors are and which are not a Serious Risk.

Behavior	
Present in Past Year	Yes
Pica (Ingestion of Non-nutritive Substances) and/or Placing Non-edible Objects in Mouth	Pica is a Serious Risk for Maria as she has ingested items which required her to go to the Emergency Room. Maria receives support with regulating her emotions and intrusiveness – these are not considered Serious Risks for her.
Difficulties Regulating Emotions	
Intrusiveness	

Safety	
Safety Awareness and Support	Yes
Judgment/Decision-making:	Claire and her aunt agree that judgment and decision-making is not a Serious Risk at this time. Other Safety Awareness and Support concerns listed are Serious Risks.
Needs support to remain safe around traffic	
Fire evacuation safety: Needs assistance to evacuate when a fire or smoke alarm sounds	

- **Use comments** if Potential Risk Factors appear under a Section Heading, but the overall selection for the Section Heading is ‘no’. Use the Comments Box to document why ‘no’ was selected. Below are several examples:
 - Taking daily oral medications is a support need for Thomas, which does not present a Serious Risk. Current supports are effective.
 - Well-managed by current supports.
 - Medical condition does not put Janet in imminent harm
 - Only required IV treatment due to a unique incident of pneumonia and dehydration, no Serious Risk identified
- **Use comments** if the team believes a Serious Risk exists under a Section Heading with no listed Potential Risk Factors. If no Potential Risk Factors appear in a Section, but the team wants to include it in the ISP, mark the Section “YES” and use the comment box on the ONA Risk Report to describe the Serious Risk.
 - Consider whether this information regarding this Serious Risk was shared with the ONA assessor. Some changes may prompt an ONA correction or reassessment.

Other Serious Health or Medical Issues	Yes
No risk identified in this section	Isabella is severely allergic to wasp and hornet stings

- **Use comments** if any type of evaluation with a qualified professional was used to determine if any Potential Risk Factor presents a Serious Risk for the person. In the Comments Box, describe the evaluation and where it can be found, as well as the conclusion of the evaluation.

Health and Medical	Serious Risk goes in Plan If no explain where it is addressed
Aspiration	No
Pica (Ingestion of non-nutritive substances) and/or placing non-edible objects in mouth	Haritha's primary care doctor was consulted about food that falls out of Haritha's mouth while eating. The doctor has determined that Haritha is not at Serious Risk for aspiration. Documentation for this conversation is kept in Haritha's OHSU MyChart.
If the person experiences any of the following symptoms and has not already been determined to be at risk of aspiration, a current evaluation by a qualified professional is expected to determine if the person is at risk of Aspiration.	
Loss of liquids/solids from mouth when eating or drinking	

Comments may be helpful, but are not expected, in the following situations:

- Comments may be used to record the team's decision-making process and factors which led to the decision. Use the Comments Box to summarize the team's conclusion.

Environmental Safety	Yes
There are currently conditions in the residence that may lead to injury or illness	The team believes that the conditions of Caleb's apartment are unsafe and are a Serious Risk because the fire exits are blocked, and items are stacked to the ceiling in a way that could easily fall on top of someone.
apartment is full of items, which are stacked in bags and boxes, leaving narrow walkways between rooms.	
Notes:	

- Comments may be used to describe what the Serious Risk looks like for the person you are planning with. You might use this space to explain how the Serious Risk affects the person, which can be useful when developing support strategies.
 - o Example: When Tyler experiences significant anxiety, he often feels overwhelmed. When this happens, Tyler does not respond to those around him and becomes unaware of potential dangers his surroundings.
- Comments may be used if additional information is needed, including historical information that the person wants included in their ONA Risk Report.

- Example: Sam wants us to know that they had Hodgkin’s disease fifteen years ago and that they are in remission and do not need any supports around this prior health concern.

There is no need to describe specific risk management strategies on the ONA Risk Report. This information belongs in the ISP Risk Management Plan or in support documents, such as safety plans, protocols, financial plan, etc.

EVALUATIONS

The risks of aspiration, choking, dehydration, and constipation have a series of risk factors and observable symptoms listed to help identify whether a Serious Risk may be present. The ONA Risk Report will provide a prompt, such as the one shown below, if certain Potential Risk Factors have been identified during the assessment process.

If the person experiences any of the following symptoms and has not already been determined to be at risk of aspiration, a current evaluation by a qualified professional is expected to determine if the person is at risk of Aspiration.

When you see this prompt on the ONA Risk Report, review all of the Potential Risk Factors that are listed beneath the prompt.

- If the risk has already been identified by the team or a qualified professional, mark the Section Heading “Yes” on the ONA Risk Report. No further evaluation is expected unless the team believes it would be helpful in identifying support strategies.
- If the risk has not been previously identified and the team has concern that there may be a Serious Risk to the person, then an evaluation with a qualified professional is expected.
- After review of the Potential Risk Factors, if the team agrees that these factors do not pose a Serious Risk to the person, mark the Section Heading

“No” on the ONA Risk Report and explain why in the Comments Box. An evaluation is not expected.

When seeking an evaluation, consider professionals that are already in the person’s life. For instance, a person may want to discuss risk factors with their primary health provider or their nurse, if they have one.

For SC/PAs supporting people in an In-Home setting:

If a person is experiencing newly identified risk factors and there is concern about a potential risk, encourage the person or family to discuss the issue with their primary care physician or other qualified professional. Support them in a way that works for them to encourage follow-through. Use progress notes to indicate how follow-through is working or not working. If you have concern for the person’s immediate health and safety due to this issue and an evaluation is not available or possible, seek your supervisor’s guidance to consider next steps.

TRANSFERRING INFORMATION FROM THE ONA RISK REPORT INTO THE ISP

Once the ONA Risk Report has been completed, the SC/PA will list identified Serious Risks in the Risk Management section of the person’s ISP.

An example is provided below. For a more detailed version of this example, see the document **‘One-page Risk Report & ISP Risk Management Plan Snapshot’**.

Health and Medical	Serious Risk goes in Plan If no explain where it is addressed
Aspiration	<input checked="" type="radio"/> Yes <input type="radio"/> No
Has condition Dysphagia	
If the person experiences any of the following symptoms and has not already been determined to be at risk of aspiration, a current evaluation by a qualified professional is expected to determine if the person is at risk of Aspiration.	
Coughing or choking during meals or when swallowing medication	
Has Mechanically altered food/fluid- require change in texture of food or liquid(pureed food, thickened liquids)	
Dehydration	<input type="radio"/> Yes <input checked="" type="radio"/> No
If the person experiences any of the following symptoms and has not already been determined to be at risk of Dehydration, a current evaluation by a qualified professional is expected to determine if the person is at risk of Dehydration	Olivia's father spoke with her pediatrician about dehydration concerns. Pediatrician determined that Olivia is not at risk for dehydration. Records of this conversation can be found in Olivia's MyChart.
Coughing or choking during meals or when swallowing medication	
Has Mechanically altered food/fluid- require change in texture of food or liquid(pureed food, thickened liquids)	
Other Serious Health or Medical Issues	<input type="radio"/> Yes <input checked="" type="radio"/> No
No risk identified in this section	
Safety Awareness and Support	<input type="radio"/> Yes <input checked="" type="radio"/> No
Fire evacuation safety: Needs assistance to evacuate when a fire or smoke alarm sounds	Olivia is effectively supported to evacuate in case of a fire, as would be expected for her age (5). This is not a Serious Risk.
Environmental Safety	<input type="radio"/> Yes <input checked="" type="radio"/> No
No risk identified in this section	
Mental Health	<input type="radio"/> Yes <input checked="" type="radio"/> No
No risk identified in this section	
Present in Past Year	<input checked="" type="radio"/> Yes <input type="radio"/> No
Injurious to Self	Olivia needs prompts to know how tightly she can hug and pet animals, but this is not a Serious Risk. When she is upset, Olivia will run away from her father and caretakers in public as well as bang her head against the floor and walls- these are Serious Risks.
Injurious to Animals	
Leaving Supervised Area	
Has History, has not Displayed Symptoms in Past Year, Assessor has Concerns About Reoccurrence	<input type="radio"/> Yes <input checked="" type="radio"/> No
No risk identified in this section	

This is an excerpt for training purposes.

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Known risks

No known, serious risks

Risk	High risk ^①	Describe the issue and how it is addressed or note where other information can be found. ^①	
<i>Aspiration</i>	<input type="checkbox"/>	+ Olivia's father and other supports thicken her fluids. They also watch her while she eats and cut up her food into small pieces. Olivia's father has information about dysphagia from her doctor and knows the warning signs of aspiration to watch for.	+ -
<i>Behavior</i>	<input type="checkbox"/>	+ Olivia's father and other supports use a stroller or hold her hand while walking in public to prevent her from running away. They watch Olivia closely while in public and look for signs of her getting upset. Her father uses social stories before leaving the house and carries a laminated one-page profile with Olivia's photo to share with others just in case. Olivia's father and other supports watch for signs of Olivia becoming upset, as she may hit her head against the floor and walls. They will use her weighted blanket and sing her favorite songs in a soft voice to help calm her down. Olivia's father has also used pillows to soften blows if other techniques do not work.	+ -

EXPECTED ACTION FOR SC/PA

In the ISP Risk Management Plan, in the “Risk” column of the “Known Risks” table, write the name of the risk as specified by the list of Risk Domains provided below.

- For each Section marked ‘yes’ on the ONA Risk Report, write the name of the related Risk Domain in the ISP Risk Management Plan, Risks column.
- Use the “Describe the Issue ...” column to provide person-centered details about the known, Serious Risk. If a risk domain captures several Serious Risks, be sure to provide clarification in this space.
- Describe supports in place to address the known, Serious Risk or where information about supports can be found. For more information, see the Risk Management Plan Section of the [Oregon ISP Instruction Manual](#).

ONA Section Heading <i>(as of eXPRS v2019.1.88)</i>	Risk Domain to list on ISP Risk Management Plan
Aspiration	Aspiration
Dehydration	Dehydration

Choking	Choking
Constipation	Constipation
Seizures	Seizures
Diabetes	Diabetes
Injury Due to Falling	Injury Due to Falling
<p>General Medical Supports</p> <p>If supports in place are effectively managing Medication Management support needs, they should be described in the Chosen Services section of the ISP and NOT listed as a risk on the ISP Risk Management Plan or identified as risks in the ONA Risk Report</p>	Medical Supports
<p>Medication Management (support needed)</p> <p>If supports in place are effectively managing Medication Management support needs, they should be described in the Chosen Services section of the ISP and NOT listed as a risk on the ISP Risk Management Plan or identified as risks in the ONA Risk Report</p>	Medication Management
Other Serious Health or Medical Issues	Other Serious Health or Medical Issues
<p>Safety Awareness and Support</p> <p>Environmental Safety</p> <p>Other Safety</p>	Safety
Financial	Financial

Mental Health	Mental Health
Behavior: Present in past year	Behavior
Behavior: Has history, has not displayed symptoms in past year, assessor has concerns about reoccurrence	
Behavior: No history, but assessor has concerns may become an issue	

TIPS FOR CREATING THE PROVIDER RISK MANAGEMENT STRATEGIES DOCUMENT

Providers who use the “Provider Risk Management Strategies” document will prepare and maintain it to be specific to the location where they support the person. This document should include all of the Serious Risks that the provider directed to support, as specified by the Provider Service Agreement or ISP Risk Management Plan. For each Serious Risk listed, include the specific Serious Risk and which Risk Domain it falls under. See the example below.

Known risks

No known, serious risks

Risk	High risk ①	Describe the issue and how it is addressed or note where other information can be found. ①
<i>Dehydration</i>	<input type="checkbox"/>	At home: Maya's parents offer a variety of drinks and hydrating foods throughout the day. Maya's parents know to watch for dry lips as a sign that Maya is becoming dehydrated.
	-	At Work: Work provider keeps a dehydration protocol and communicates daily with Maya's parents about how much she drinks at work.
<i>Safety</i>	<input type="checkbox"/>	At home: Maya's parents have smoke detectors at home, and will provide hands-on support to help Maya evacuate in the case of fire. There is always someone available when Maya is at home. Maya's parents have adjusted the water temperature in their home so that it cannot exceed 115°.
	-	At Work: Work provider keeps a safety plan which addresses fire evacuation safety and water temperature safety.

This is an example of Maya’s Risk Management section of the ISP from which the employment provider will be creating the Provider Risk Management Strategies document (PRMS).

Provider Risk Management Strategies

Person's name: Maya Nunez

Provider/Site Name: Work Plus

List risks identified on the ISP Risk Management Plan or Service Agreement and what support document(s) are in place to address each risk.

Risk	Title of document	Document date	Where kept
Dehydration	Dehydration Protocol	1/15/19	Work Support File
Fire Evacuation (Safety) Water Temperature (Safety)	Safety Plan	1/17/19	Training File Safety Section

Does this person have a Nursing Care Plan at this location? No Yes, where found:

This is an example of the employment provider's Provider Risk Management Strategies document (PRMS) created from the Risk Management Section of Maya's ISP. Notice that each specific Serious Risk is listed, with information about which Risk Domain each falls under in the ISP.