

Risk Assessment Worksheet and Guidelines

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Table of Contents

Risk Assessment Worksheet and Guidelines 1

 Table of Contents 1

 Instructions 1

 Worksheet 2

 Risk reducing factors 3

 Plan mitigation comments..... 4

 Risk definitions 4

 Risk factor descriptions 6

Instructions

Use the risk definitions to identify risk levels, enter corresponding risk reducing factor numbers in the risk level columns. **Note:** Power outages and natural disaster and extreme weather are tracked separately in the CA/PS2 Emergency Concerns Report.

Worksheet

CM's name: _____ Date: _____ Individual's name: _____ Prime#: _____

Risk category	High	Medium	Low	None
Power outage				
Natural disaster and extreme weather				
Physical functioning				
Mental and emotional functioning				
Cognitive functioning				
Behavioral issues				
Income and financial issues				
Safety and cleanliness of residence or facility				
Service plan meets physical and medical needs				
Service plan meets mental, emotional, and behavioral needs				
Adequacy and availability of natural supports				
Access to care and services				
Other – identify in plan (narration comments)				

Risk reducing factors

1. Assistive devices
2. Back-up worker or alternative facility
3. Clothing assistance
4. Education/Information
5. Emergency response system
6. Energy assistance programs
7. Facility responsibility
8. Food assistance programs
9. Gatekeeper/telephone reassurance
10. Home delivered meals
11. Home/environmental modifications
12. Identify in plan
13. Law enforcement
14. Mental health referral
15. None/not at risk
16. Referral (identify in plan)
17. Referral to APS
18. Referral to CRN
19. Referral to I and A
20. Refuses at this time
21. Supports
22. Training
23. Unresolved-CM follow-up

Plan mitigation comments

Brief description of high or medium risks:

Details of mitigation strategies pursued:

Record individual's understanding/acceptance of plan:

Available support (people, resources) to mitigate high/medium risk(s):

Back-up plan - If existing paid supports or assistive devices are suddenly unavailable (Include contact info. of people providing back-up support):

Risk definitions

High risk: An identified concern, that without mitigation, is likely to cause the individual to experience substantial injury or loss within the next 30 days or the individual has experienced substantial harm within the previous 30 days, and the harm will likely recur without mitigation.

Risk Assessment Worksheet and Guidelines

Substantial injury or loss means: Urgent medical (hospital, Emergency room, Dr. office) intervention necessary to treat the injury or prevent significant health deterioration or loss of functioning, and/or, law enforcement involvement, loss of housing or financial loss exceeding \$2,000.

Medium risk: An identified concern, that without mitigation, is likely to cause the individual to experience minor injury or loss within the next 90 days or has experienced minor loss in the previous 30 days that will likely recur or worsen without mitigation.

Minor injury or loss means: Medical intervention is not needed (natural supports, home/over-the-counter remedy, or time heals), housing is secure, and/or financial losses would be \$2,000 or less.

Low risk: An identified concern, that without mitigation, may result in harm. The risk of harm to the individual is not imminent nor likely to occur within 90 days, and/or harm has occurred within the last 30 days, has been mitigated, and is unlikely to recur within 90 days.

No risk: There are no identified concerns, and no harm is likely to occur within 90 days, and there has been no harm in the previous 30 days. Harm means injury or loss of any severity.

Monitoring high risk individuals: An individual's high-risk needs and mitigation strategies must be discussed with the individual during risk-focused direct contacts to ensure that mitigation strategies are addressing their health/safety concerns. The CM Services Due Report displays high-risk in-home individuals (except for power outages and natural disasters), in the "CM/Risk" column who require direct risk-focused

contacts. Individuals with High Risk(s) in the report description list lists consumes assessed with a high-risk concern, excluding individuals in the SPPC, ICP and PACE benefit plans.

Risk factor descriptions

Scenarios provide guidance for identifying risk levels based on the Risk Definitions and are not intended to be all-inclusive. Power outages and natural disasters and extreme weather high-risk assessments are carried over to the “CA/PS 2 Emergency Concerns Report” from the risk assessment tool.

Risk	High risk	Medium risk	Low risk	No risk
Power outage	• No alternative power source for life, safety or equipment. • Dependent on consistent power for heat or assistive equipment. • No support system, ERS or back-up plan in place.	• Can manage a short-term power outage. • Health and safety injury or loss after two days. • No reliable support, ERS or back-up plan in place.	• Has a practical support system, an ERS and back-up plan in place.	• Solid back-up plan. • Dependable equipment, ERS, and support system in place.

Risk Assessment Worksheet and Guidelines

Risk	High risk	Medium risk	Low risk	No risk
Natural disaster and extreme weather	• No support system or back-up plan in place. • Fully dependent on others. • Supports and resources are not dependable. • Unable to shelter in place or evacuate home.	• Has a back-up plan in place but dependent on unreliable support system. • No dependable supply of resources to shelter in place or unable to evacuate home.	• Has an adequate back-up plan and ERS in place. • Reliable support system that is immediately available to assist to vacate home if needed.	• Has solid back-up plan in place. • Able to vacate home on own. • Has dependable ERS, support system, and resources in place.
Physical functioning	• Has a debilitating condition, severe physical challenges or permanent impairment. • Incapable of completing most ADLs. • Totally dependent on others.	• Has significant physical challenges or incapacitating condition. • Unable to accomplish several ADL tasks without assistance.	• Has minimal physical challenges. • Can complete most ADL tasks or has consistent support system, assistive devices and needed resources readily available.	• Capable of all ADLs/IADLs. • Has a dependable support system, assistance and resources in place.

Risk Assessment Worksheet and Guidelines

Risk	High risk	Medium risk	Low risk	No risk
	- No reliable assistive devices. - Inadequate supports available.	Supports not dependable or accessible.		
Mental and emotional functioning	- Has significant mental or emotional challenges. - Does not recognize dangers that put the health and safety of self and others severely at risk. - No reliable support system or assistance available. - Regularly refuses needed services and supports.	- Has persistent mental or emotional challenges that risk the health and safety of self and others. - Able to complete some ADLs. - Has limited understanding of dangers, threats and risks to self and others. - May resist needed services. - Some assistance identified or	- Has minimal mental or emotional challenges that may result in limited health & safety issues to self and others. - Willing and cooperative. - Potential harm is reduced through assistance, mediation and dependable support system.	- No apparent mental or emotional challenges that endanger health and safety to self or others. - Understands and removes potential harm risks. - Has a strong support system.

Risk Assessment Worksheet and Guidelines

Risk	High risk	Medium risk	Low risk	No risk
		sporadic support available.		
Cognitive functioning	• Significant disorientation or confusion about persons, places, and time. • Unable to make everyday decisions. • Forgets to meet ADL/IADL needs. • Does not understand risks to health and safety of self and others. • Often refuses needed services. • Unable to express self clearly and consistently.	• Periodic confusion to person, place or time. • Impaired reasoning and decision-making ability requiring frequent assistance. • Sporadic forgetfulness that negatively impacts basic needs and puts themselves or others at risk. • Unable to communicate health and safety needs without	• Mild forgetfulness and needs occasional assistance to make decisions to promote health and safety. • Can meet basic needs on own or with infrequent assistance. • Occasionally they need assistance to convey information to ensure their health and safety. • Willing to accept services.	• No apparent cognitive impairment or difficulty making decisions to ensure health and safety. • Is aware of needs and is not confused or disoriented. • No difficulty communicating and expressing needs, opinions or concerns related to health and safety. • Aware, responsive and

Risk Assessment Worksheet and Guidelines

Risk	High risk	Medium risk	Low risk	No risk
	- Needs assistance to communicate health and safety needs. - If left alone, would experience harm to self or others.	- frequent assistance. - Resistant to offers of assistance.		cognizant of circumstances.
Behavioral issues	- Displays severe negative behaviors: - verbally or physically aggressive, - wandering, - substance use, - socially inappropriate, - life-threatening medical non-compliance.	- Displays moderate problem behaviors: - intermittent meds, - unable to self-regulate, - occasional substance use, - does not fully understand consequences of behaviors.	- Displays minor problem behaviors: - history of past substance use, - minor emotional outbursts. - Able to self-regulate with minimal assistance to ensure health and safety of self and others.	- No disruptive or problematic behaviors or indication of substance use. - Behavior is appropriate, self-regulated, controlled and does not put health and safety to self or others at risk.

Risk Assessment Worksheet and Guidelines

Risk	High risk	Medium risk	Low risk	No risk
	• Cannot be left alone without causing harm to self or others. • Often refuses assistance.	• Needs assistance and monitoring daily to avoid injury or harm to self or others. • Resistant to offers of assistance.	• Willing to accept assistance.	
Income and financial issues	• Total financial dependence on others. • Makes decisions that risk financial resources. • Unable to manage resources. • Requires constant monitoring.	• Frequent financial dependence on others. • Unable to safeguard financial resources and valuables. • Assistance needed to manage financial resources from misuse or loss.	• Can only afford necessities. • Needs occasional assistance to safeguard possessions and financial resources from potential misuse or loss. • Financially dependent on others for emergencies.	• Adequate financial resources. • Financially independent. • Effectively manages finances, resources and possessions without risking valuables and assets.

Risk Assessment Worksheet and Guidelines

Risk	High risk	Medium risk	Low risk	No risk
		History of financial exploitation.		
Safety and cleanliness of residence or facility	- Residence has immediate, serious problems risking the health and safety of self or others: - unsanitary conditions, - no heat/water, - damage to structure, - access issues. - Current eviction with no other housing option.	- Condition of residence poses significant health and safety risks to self or others: - unsanitary conditions, - interruption of utilities, - access issues, - food spoilage, - deterioration of structure, - threat of eviction.	- Ongoing minor maintenance, sanitary or cleanliness issues. - No significant ongoing health or safety risks. - Threat of eviction but not imminent.	- No significant maintenance, disrepair or cleanliness issues affecting the health and safety of the individual or others. - No threat of eviction.
Service plan meets physical and medical needs	Has unmet, critical physical needs requiring	Service plan does not meet individual's medical needs,	Minor issues with care or service provision, but basic ADL/IADL	Service plan fully meets all physical, medical,

Risk Assessment Worksheet and Guidelines

Risk	High risk	Medium risk	Low risk	No risk
	constant assistance. • Imminent risk due to inadequate services and providers or refuses critical services. • Unwilling/unable to address health and safety risks to self or others. • No reliable support system.	putting individual and others at risk of significant injury or loss. • Significant cognitive, functional limitations or requires regular assistance to reduce risks. • Weak support system.	and medical needs met. • Physical or mental issues limit effectiveness of service plan: • Ex. Often refuses weekly shower. • Support system adequate.	ADL and IADL needs. • Individual accepts care and services. • Strong support system in place.
Service plan meets mental, emotional, and behavioral needs	• Individual has serious ongoing mental, emotional, or behavioral needs that risk health and safety of self or others due to	• Several mental, emotional or behavioral needs not met by service plan based on cognitive	• Some minor mental, emotional or behavioral needs are not fully met by service plan. • Most of the basic mental,	• Service plan fully meets all mental, emotional and behavioral ADL and IADL needs. • Individual accepts services.

Risk Assessment Worksheet and Guidelines

Risk	High risk	Medium risk	Low risk	No risk
	cognitive decline or individual choice. No reliable paid or natural support system to support service plan.	impairment or individual choice. - Individual often refuses assistance to address care needs, putting health and safety at risk. - Sporadic paid or natural support system.	emotional or behavioral needs are regularly met. Reliable paid or natural support system in place.	Dependable support system in place.
Adequacy and availability of natural supports	- No natural supports available for urgent needs. - Family/friends interfere with individual's care or are abusive or neglectful. - Lives in an isolated area.	- Few family or friends are unreliable to provide consistent care and support. - Express good intentions and a desire to help but rarely follow through to	Some natural supports are available, concerned about the health and safety of the individual, and providing helpful but limited	Multiple natural supports are knowledgeable, capable and actively involved to support the individual with health and safety needs.

Risk Assessment Worksheet and Guidelines

Risk	High risk	Medium risk	Low risk	No risk
	Natural supports uninvolved.	address care, health and safety needs.	assistance when needed.	Individual accepts the assistance.
Access to care and services	- Significant ADL or IADL needs, access to care and services is often unavailable or hard to secure: - distance or isolation, - few providers, - limited or no access or ability to use phone, - limited or no EMS or ERS, - no reliable transportation available.	- Medical or mental health care needs with unreliable access to care providers and needs services. - Limited ability to use phone or EMS or ERS. - Occasionally refuses available care. - Limited access to transportation.	- Ability to access care and services is only occasionally problematic with care needs normally met adequately and timely. - Transportation is challenging but available.	- No regular services needed, or individual has regular and timely access to services that fully meet assessed care needs. - Transportation needs met.

Risk Assessment Worksheet and Guidelines

Risk	High risk	Medium risk	Low risk	No risk
Other – identify in plan (narration comments)	• Imminent high-risk concerns not identified above. • No paid or natural supports or back-up plan in place to mitigate risks.	• Significant risk concerns jeopardizing an individual's health and safety. • Inadequate back-up plan. • Unreliable support system in place.	• Minor risk concerns to individual's health and safety. • Adequate back-up plan. • Support system in place.	• No additional risk concerns identified. • Reliable back-up plan. • Dependable support system to address risk concerns.

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