Overview of Risk Assessment and Mitigation Planning

Money Follows the Person
Transition Coordinator Training
Presentation Goals

• Introduce the MFP Risks and Strategies documents
• Describe ways that transition coordinators (TC) can identify risks to participant success.
• Describe how TCs will collaborate with participant and circle of support to confirm the risks, strategies and tasks on the mitigation plan.
• Briefly describe the implementation of the mitigation plan and tasks and the need to monitor and adjust the mitigation plan on a routine basis.
Introduction to Risks and Strategies
What is a “risk”? 

• The possibility of the participant experiencing a harmful event. 

And/or 

• Hazards related to an array of mental, physical, cognitive and/or emotional conditions that place the participant at risk of returning to the institution or long term care facility.

In MFP, The Risks and Strategies (Form H&I) helps the transition coordinator identify and document participant risks.
Parts of the Risks and Strategies Document

- Risk Domains
- Risk Questions
- Risk Indicators
- Mitigation Strategies
Introduction to Risk Domains

The domains, or categories, in the MFP risk assessment cover broad areas where the MFP participants may have risks:

- Caregiver risk
- Environmental risk
- Behavioral risk
- Medical risk
- Engagement
Caregiver Risk Domain

1. **Vulnerability of Participant:** Risks associated with lack of natural supports (i.e. friends, family, and neighbors), home/community support, ability to manage finances; vulnerability to financial exploitation, sexual exploitation, intimidation and being manipulated or controlled.

2. **Vulnerability due to Caregiver:** Risks associated with caregiver problems, losing a caregiver and other specific risks associated with the caregiver(s).
Environmental Risk Domain

3. **Safety**: Risks associated with unsafe neighborhood, indoor safety, heating/cooling, scalding and burning, and proper handling of chemicals.

4. **Accessibility**: Risks associated with emergency evacuation, indoor mobility, access to the home for caregivers/service providers, and social isolation.
5. *Danger to Self:* Risks associated with aggressive behaviors, self-injurious behaviors, suicidal tendencies, unsupervised “wandering”, other behavioral risks related to a medical or neurological condition.

6. *Danger to Others or Illegal Behavior:* Risks associated with past criminal behavior, sexual violence, involvement in illegal or unsafe activities, aggressive behavior, and unsafe use of flammable materials.
Medical Complications Risk Domain

7. **General**: Risks associated with unplanned hospital stays, emergency room visits, psychiatric hospital admissions, conflicting diagnoses/conditions, neurological conditions, falls, infectious disease, unplanned weight gain or loss, and special diets.

8. **Medication and Treatment**: Risks associated with lab tests, blood work, prescription medications and over-the-counter medications.
Medical Complications Risk Domain

9. **Activities of Daily Living:** Risks associated with the participant’s functional status related to routine activities of daily living. These include: eating/drinking, toileting, transferring, walking, and tolerating chronic pain.

10. **Specific Conditions:** Risks associated with a participant’s medical conditions including seizures, diabetes, lung/breathing conditions, gastrointestinal conditions, heart conditions and others.
11. **Engagement**: Risks associated with reduced mental capacity, impaired judgment, lack of environmental awareness of surroundings, non-adherence (to plan of care, medication regime, etc.), and lack of a peer support system.
Introduction to the Risk Questions

• 75 questions
  – Developed by experts who have experience with all populations served in Money Follows the Person.
  – Examines the risk domains for MFP participants to ensure a safe, sustainable community transition.

All of the risk questions need to be answered for each participant.
Answering the Risk Questions

The Question Guide...

- is population-specific (IDoA, DMH, DRS, DD), and
- suggests sources of information.

Multiple sources may be needed to answer each risk question.
Suggested sources are provided in each Question Guide.

With the Risk Indicators and the Question Guides.
The risk questions are listed in order by domain.

<table>
<thead>
<tr>
<th>Risk Question</th>
<th>Where the TC might find the information</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Is the MFP participant at risk due to lack of natural supports?</td>
<td>Institutional Staff/Physicians/Counselors; Participant</td>
</tr>
<tr>
<td>2. Does the participant need support to be able to remain at home alone for any length of time?</td>
<td>Primary caregiver/family/friends</td>
</tr>
<tr>
<td>3. Does the participant need support to be in the community alone for any length of time?</td>
<td>III. Behavioral Health, p. 6-7; VII. Transportation, p. 13; Primary caregiver/family/friends</td>
</tr>
<tr>
<td>4. Does the participant need any assistance to manage their finances?</td>
<td>Primary caregiver/family/friends; Participant</td>
</tr>
<tr>
<td>5. Is the participant at risk for financial exploitation?</td>
<td>Institutional Staff/Physicians/Counselors; Primary caregiver/family/friends; Participant</td>
</tr>
</tbody>
</table>

This column tells where the TC might find the information.

Question guides can be found on the MFP TC Website at: https://mfp.nursing.uic.edu/mfpweb/process.shtml Under Risk Assessment Guides.
Answer the Risk Questions Using the Risk Indicators

- Most questions on the risk assessment have one or more risk indicators
- Use these to help answer the risk questions

The risk indicators are specific statements that help identify participant’s risks.
Examples of Risk Indicators

- Participant is at risk if home alone without paid or unpaid caregiver.
- Participant forgets to take medication.
- Participant or other residents in the home smoke or are careless with fire.
- Participant has an injury resulting from a fall.
- Participant has a history of violent or abusive behaviors to self or others.
- Participant’s criminal history threatens the stability of the participant’s transition or places them at risk of eviction.
Gathering Risk Information:
Step 1: Document Review

• Review of previous assessments conducted (through IDOA, DMH, DRS, DD), and
• Review of the participant’s nursing home chart or any other medical charts/clinical records available.
Gathering Risk Information:
Step 2- Interviewing Support Staff and Professionals

• Talking with professionals who have been caring for the participant
  – Long-term care facility staff, primary care physician, other relevant healthcare providers or supportive professionals (nurses, social workers, other case managers, other physicians etc.)

• Interview easiest to access staff first.
  – Ask all relevant questions at each interview.
Risk indicators are selected based on the risks that a participant currently has or could expect.

Most participants will have several risk questions with a “Yes” answer.

Identified risks will guide which mitigation strategies should be selected.

If a risk indicator is identified as present, then the answer to that risk question is “Yes.”

If no risk indicators are identified then the answer to that question is “No.”
Any Questions about Information Gathering to Identify Participant Risks?
Next Step in the Risk Assessment & Mitigation Planning Process:

Selecting Mitigation Strategies
Select Mitigation Strategies

• Use identified risks as a “starting point”
• Select the strategies that best address the risks.
  – Note: Strategies selected may change during the initial face-to-face meeting with the participant and their circle of support.

“Mitigate” means to make better, solve a problem, to alleviate, or right something that is wrong.

FORM H&I lists mitigation strategies under each risk question
Examples of Mitigation Strategies

- Arrange for and monitor caregiver(s) and/or services.

- Arrange for and monitor caregiver assistance with medication administration.

- Arrange assessment by psychiatrist of danger to self or others and monitor for follow-through.

- Develop and monitor emergency and backup plan, including exit strategy.

- Assess participant's risk of falls by completing a Falls Risk Assessment.

- Assess participant for legal issues and request name, number, and address of court supervisor or parole officer.
Complete Form H&I in MFP Online WebApp

- See the [WebApp User Manual](#) for details on how to complete the online Risks & Strategies document.
After Completing the Risks & Strategies Document

The TC *must collaborate* with the participant and their circle of support to *develop the mitigation plan* and decide which Money Follows the Person *services* are needed.
The Mitigation Plan

• The Mitigation Plan (Form J) includes:
  – Each Risk Question where a risk is confirmed
  – Each confirmed strategy
  – The Tasks and services needed to complete each strategy
  – The Agency or individual that will complete each task or service
  – The date each task/service is to start and schedule the task/service is to be performed
  – Planned follow-up dates and codes for monitoring
Collaborating with the Participant and their Circle of Support to discuss and confirm the Mitigation Plan.
Meeting with the Participant

- Meeting includes the TC, the participant, legal guardian (if any) and the circle of support (if the participant wishes).
- TC should bring:
  - ✓ Participant Face Sheet (Form F)
  - ✓ Medication Chart (Form G)
  - ✓ Initial Completed Mitigation Plan (Form J)
  - ✓ 24 Hour Backup Plan (Form K)
  - ✓ Personal Resource List (Form L)
  - ✓ Knowledge of available services
Develop and Confirm the Mitigation Plan

• **Discuss and develop** all parts of the Mitigation Plan with the participant and their circle of support.

  Are these the tasks needed to meet your goals?

  Do you have any suggestions or comments about the services you selected?

  Do you foresee any problems occurring with any of these tasks and services?
Complete Form J in MFP Online WebApp

• See the WebApp User Manual for details on how to complete the online Mitigation Plan document.
Tips for Collaborating

• Listen to all concerns
• Ask for their input and wishes
• Address their questions

The participant and their circle of support may be your best resource for ensuring a successful transition.
After Confirming Strategies

• Draft a Mitigation Plan (Form J) with the participant
  – Lists the tasks and services needed to fulfill each strategy.
  – Must be discussed and developed with the participant and their circle of support.
Put the Mitigation Plan into Action

Plan developed and approved by participant and circle of support?

Yes

Put the plan into action!

*If “No” revise the plan and confirm.*

- Follow department guidelines for arranging tasks and services needed.
- Monitor plan routinely to ensure it is meeting the participant’s needs.
Follow-Up and Monitoring of the Plan

- During follow-up visits with the participant, the TC must:
  - Evaluate the effectiveness of each task and service.
  - Identify new risks and strategies, if any.
  - Make Revisions in WebApp Forms.
  - Document changes in case notes.
Updating the MFP Risk Assessment and Mitigation Plan

• When to update these forms?
  – After case reviews when recommendations are made to plan for risks not identified on the initial assessment and plan
  – After critical incidents when new risks are identified

• How to Update Risk Assessment Forms H&I
  – Add New Form H and I. Everything you have done previously will be there.
  – Scroll through to select new risks or remove risks as applicable to the participant’s current situation.
  – Upload new Forms H&I

• How to Update Form J:
  – Add a New Form J. Everything you have already done will still be there.
  – Click the radio button to “Edit possible tasks” next to each strategy, one by one. You must do this for each strategy you wish to plan for.
  – You can add task plans to the new risks and strategies you selected on your newest risk assessment.
  – Leave the Strategies expanded, or open, once you enter a plan for the strategy. In other words if you enter information under a strategy – do not click the radio button to “Hide Possible Tasks.” If you do this your work on that strategy will not be uploaded. Any strategy that you do not wish to plan for you may leave “hidden.”
In Summary

• Vital role in success of transitions.
• Routine Follow-up and monitoring.
• If truly a team effort...greater chance of lasting success in the community.