

Behavioral Health Needs Assessment: A Resource To Support the Annual Facility-Wide Assessment



CENTER OF EXCELLENCE FOR BEHAVIORAL HEALTH IN NURSING FACILITIES

Introduction

As you use this assessment, please take note that behavioral health refers to both mental illness and substance use conditions.

Purpose

The Behavioral Health Needs Assessment, created by the Center of Excellence for Behavioral Health in Nursing Facilities (COE-NF), can be used as a resource for the required annual facility-wide assessment. The assessment was designed to help facilities process strategies to bridge behavioral health gaps identified in the required annual facility-wide assessment. Nursing facilities are required to conduct, document, and annually review a facility-wide assessment, which includes both the resident population and the resources the facility needs to care for residents.

Current guidance from the Centers for Medicare and Medicaid Services State Operations Manual Appendix PP references assessment of residents' behavioral health needs and staff training and skills within the required annual facility-wide assessment.

This behavioral health needs assessment provides a structured framework to further assess the unique behavioral health needs of the facility identified in the required annual facility-wide assessment. This assessment will help identify training, staffing and resources needed to provide the necessary person-centered care that will promote safety and wellbeing of all residents.

The behavioral health needs assessment is **not** a requirement; however, it can be used as a tool to support the requirement.

Benefits

Due to the high prevalence of mental illness and substance use disorders in the United States, the likelihood that a resident with a behavioral health disorder will be admitted into a nursing facility is high. Behavioral health disorders, including anxiety, depression, bipolar disorder, opioid use disorders, and schizophrenia, affect a significant portion of the general population.

The behavioral health needs assessment provides:

- A systematic way of identifying the current behavioral health and treatment gaps for residents with behavioral health conditions.
- Assistance with meeting the requirement for the behavioral health component of the facility-wide assessment that must be completed at least annually.
- A pathway for creating an environment that prioritizes and recognizes that behavioral health is essential to physical health and functional outcomes.
- Key information to help elevate the facilities' behavioral health care, treatment and services provided to residents.
- Actionable processes for planning, staffing, training, and engaging with community partnerships.

In addition to the above, the assessment results can be used for Quality Assurance and Performance Improvement (QAPI) within the nursing facility that require behavioral health services improvement.

Overview of the COE-NF Behavioral Health Needs Assessment

There are four vital steps to the behavioral health assessment:

Facility Characteristics and Needs Identify needs based on the current prevalence of behavioral health diagnoses of the resident population. This can include looking at mental illness and substance use diagnoses, psychiatric medication use, incidents related to behavioral health, and more. **Facility Behavioral Health Capacity** Review and assess what is currently in place to address residents' behavioral health needs. A facility can determine what staff training has been completed and current staff training needs. It can also identify any specialized behavioral health staff and medication management available. **Identify Gaps Between Needs and Capacity** Examine the facility needs and its current capacity. This includes education and knowledge barriers and availability of culturally appropriate behavioral health service providers. **Develop and Implement Your Plan** Implement quality improvement plans to address any identified gaps.

Nursing facilities that take a proactive approach to behavioral health can provide tailored interventions, supports, and treatment that leads to improved behavioral health and overall well-being for residents. We encourage nursing facilities to use the assessment as they examine their own needs in the context of mental health and substance use services.

Disclaimer: Use of this assessment is not mandated by the Centers for Medicare and Medicaid Services, nor does it ensure regulatory compliance.





Behavioral Health Needs Assessment

Date:
_Activity Department:
Certified Nursing Assistant (CNA):
_Medical Director:
_MDS Coordinator:
Social Services Director:
Other:

Notes:

Step 1: Assess the Facility Characteristics and Needs

Mental Health Diagnosis Sources	What mental health diagnoses do you see in your current resident population? Example: Three (3) residents have a diagnosis of Schizophrenia, Two (2) Bipolar Disorder, and 25 Major Depressive Disorder. Which validated mental health screenings are currently being conducted at intake or routinely conducted? Example: Patient Health Questionnaire (PHQ-9) and Generalized Anxiety Disorder (GAD-7)
Percentage of Residents with a Mental Health Diagnosis See Appendix A for common mental health diagnoses.	What diagnoses trends did you find among your current resident population and what is the percentage? Example: Schizophrenia- 23% of resident population. Number of residents with a mental health diagnosis Percentage of population% *Number of Residents/Census x 100 = % of Population
Medication Sources Electronic Medical Record (EMR) Kardex Pharmacist Consultant Reports Physician Notes Specialist Notes	What antipsychotic medications are existing residents prescribed? Example: Two (2) residents are prescribed Risperdal. What psychotropic medications are existing residents prescribed? Example: Five (5) residents are prescribed Ativan.
Percentage of residents on a medication to treat a mental health condition. See Appendix D for common medications to treat mental health conditions.	What medication trends did you find among your current resident population and what is the percentage of the resident population? Example: 45% of residents are on an antidepressant. Number of residents on an antipsychotic medication

Substance Use Disorder Sources What substance use diagnoses did you find in your current resident population? Electronic Medical Record (EMR) Example: 10 residents with an opioid use disorder, Five (5) with cannabis use disorder, 20 Hospital Transfer Records with an alcohol use disorder, and Three (3) with a stimulant use disorder. Minimum Data Set (MDS) Physician Notes Specialist Notes Social Services Assessment SUD Screening Results See Appendix B for common substance How many current residents have a history of substance use disorders use diagnosis. without a diagnosis? Example: 10 residents have a history of substance use. How many current residents are on medication to treat a substance use disorder (including medications to treat Opioid Use Disorder (MOUD), Alcohol Use Disorder (MAUD), and/or Methadone)? Example: Three (3) residents are on a medication to treat alcohol use. Which validated substance use screenings are currently being conducted at intake or routinely conducted? Example: Alcohol Use Disorder Identification Test (AUDIT) and Tobacco, Alcohol, Prescription Medications, and other Substance Use (TAPS). Do you have Naloxone on site? If so, list the number of staff trained on Naloxone Administration per shift. Is it easily acceptable? Percentage of residents on What substance use disorder trends did you find among your current medication to treat a substance use resident population and what is the percentage of the resident disorder. population? Example: 45% of residents are on an antidepressant. See Appendix E for common medications to treat mental health conditions. Number of residents with a substance use disorder diagnosis _____ Percentage of population _____% *Number of Residents/Census x 100 = % of Population Number of residents with a history of substance use, without a diagnosis Percentage of population _____% *Number of Residents/Census x 100 = % of Population

Trauma History Sources	
Minimum Data Set (MDS)	What trauma-related trends did you find in your current resident population and what is the percentage of the resident population?
Electronic Medical Record (EMR) Social Services Assessment Trauma Screening Results See Appendix C for types of trauma	Example : Four (4) residents impacted by flood of 1998, 15 residents are war veterans with PTSD and 10 experienced physical abuse, 30% of residents have experienced a traumatic event.
	Number of residents with trauma history
	Percentage of population%
	*Number of Trauma/Census x 100 = % of Population
PASRR Level 2 Sources	What Preadmission Screening and Resident Review (PASSR) trends did you find in your current resident population and what is the percentage of the resident population?
Hospital Transfer Records Minimum Data Set (MDS)	Example : 10 residents or 10% of the facility population have a level 2 PASSR for a serious mental illness.
State PASSR Database Facility Hardcopy Records	Residents with PASSR Level 2
Electronic Medical Record (EMR)	Percentage of population%
	*Number of PASSR Level 2/Census x 100 = % of Population
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	What mental health or substance use-related incidents have happened in the last 12 months at your facility?
	the last 12 months at your facility? Example: January - Resident with a diagnosis of schizophrenia attacked a staff member.
	the last 12 months at your facility? Example: January - Resident with a diagnosis of schizophrenia attacked a staff member.
Mantal Haalth/Subatanaa Haa	the last 12 months at your facility? Example: January - Resident with a diagnosis of schizophrenia attacked a staff member.
Mental Health/Substance Use Related Incidents	the last 12 months at your facility? Example: January - Resident with a diagnosis of schizophrenia attacked a staff member. April - Resident came back to facility intoxicated after day pass and had a fall.
	the last 12 months at your facility? Example: January - Resident with a diagnosis of schizophrenia attacked a staff member. April - Resident came back to facility intoxicated after day pass and had a fall.
Related Incidents Accident/Incident Report Forms	the last 12 months at your facility? Example: January - Resident with a diagnosis of schizophrenia attacked a staff member. April - Resident came back to facility intoxicated after day pass and had a fall.
Related Incidents Accident/Incident Report Forms	the last 12 months at your facility? Example: January - Resident with a diagnosis of schizophrenia attacked a staff member. April - Resident came back to facility intoxicated after day pass and had a fall. Do you have behavioral health huddles? What trends did you find in the mental health and substance use
Related Incidents Accident/Incident Report Forms	the last 12 months at your facility? Example: January - Resident with a diagnosis of schizophrenia attacked a staff member. April - Resident came back to facility intoxicated after day pass and had a fall. Do you have behavioral health huddles? What trends did you find in the mental health and substance use incidents?

Do you conduct trauma screenings on all residents?

Step 2: Determine the Facility Behavioral Health Capacity

	What are your current mental health and substance use training requirements?
Staff Training Topics	Example: We follow CMS training guidelines.
(This is not a comprehensive list of training topics.) Behavioral Health Equity Crisis Management	Which staff are required to complete the training?
CNA specific trainingDe-Escalation Strategies	Which staff are required to complete the training?
 Interpersonal Communication Skills Culturally and Linguistically Appropriate Services Trauma Informed Care 	Example: Staff at all levels of care.
Post Traumatic Stress Disorder Person Centered Care	What are your orientation/new hire onboarding training requirements?
 Screening and assessment Non-pharmacological Interventions Other 	Example : Trauma-Informed Care offered by the Center of Excellence for Behavioral Health in Nursing Facilities, De-escalation techniques, mental health awareness
Mental Health Specific	What are your ongoing/annual requirements?
 Diagnoses specific trainings (i.e., schizophrenia, bipolar disorder) Mental Health Awareness Suicide Prevention Grief and Loss Other 	Example : Trauma-Informed Care offered by the Center of Excellence for Behavioral Health in Nursing Facilities, De-escalation techniques, mental health awareness.
Substance Use/Co-Occurring	What are the training requirements "agency staff" working at your facility?
Disorders-Specific Diagnoses specific trainings (i.e., opioid, alcohol use, cannabis) Substance Use Awareness Signs and symptoms Overdose Prevention Co-Occurring Disorders	Example : De-escalation techniques and mental health awareness are reviewed prior to assignment area.
Medications to treat substance use disorders Naloxone (Narcan) Administration Other	What are your identified gaps or barriers?

Psychiatry and Medication	Who currently assesses and prescribes mental health/substance use medications for residents? Example: Our agency's psychiatrist.
	What is the frequency and format of these assessments (in-person or virtual)?
 Management Psychiatrist Geriatric Psychiatrist Psychiatric Nurse Practitioner Telepsychiatry 	What additional psychiatric support is needed?
Attending Physician	Are the practitioners representative of the resident population regarding race, ethnicity, and native language?
	What are your identified gaps or barriers?

Psychotherapy and Substance Use Treatment

Psychotherapy Providers

- Psychologist
- Licensed Clinical Social Worker
- Licensed Professional Counselor
- Community Mental Health Centers
- PASSR Providers
- Grief Counselor
- Teletherapy Provider
- Group Therapist

Who currently provides psychotherapy (counseling) services for residents?

Example: We contract services with a Licensed Professional Counselor (LPC) and Social Worker.

Who currently provides substance use treatment services for residents?

Example: We contract services with a Certified Addiction Counselor.

What is the frequency and format of these services (in-person or virtual)?

What types of services are offered? **Substance Use Treatment Providers** Are the providers representative of the resident regarding race, **Buprenorphine Practitioners** ethnicity, and native language? **Certified Addiction Counselors Opioid Treatment Programs Opioid Treatment Programs** Substance Use Treatment Programs (outpatient, inpatient, residential) What are your identified gaps or barriers? Do you offer any other behavioral health focused support for residents? **Example**: We provide art therapy. **Other Behavioral Health Supports** What types of services are offered? Recreational therapy o Art Therapy Music Therapy o Pet Therapy Peer Support Other What are your identified gaps or barriers? Do you have any specialized care areas or unique populations currently in your facility? **Specialized Care** Example: Behavioral Health Unit. Specific Areas/Units **Cohorted Populations** Specialized Behavioral Health What are your identified gaps or barriers? Consultant Full-time Behavioral health team member

Community Partners Providers Psychiatric ER/Hospital Community Mental Health Treatment or Crisis Center Community Substance Use Treatment Center Inpatient Mental Health or Substance Use Treatment Center Opioid Treatment Programs (Methadone Clinics) Mobile Crisis Units	Which community partners support the behavioral health needs of your current residents? Example: Local community mental health treatment program. What types of services are offered?
Recovery Support Groups (This is not a comprehensive list of recovery support groups, nor does being on this list indicate endorsement by the COE-NF.) • Alcoholic Anonymous • Narcotic Anonymous • Cocaine Anonymous • SMART Recovery • Psychosocial Clubhouses • Secular Organizations for Sobriety • Others	What are your identified gaps or barriers?

Step 3: Identify Gaps Between Needs and Capacity

Please rate your facility in the following areas.

Staff Training (Mental Health)	Excellent	Good	Fair	Needs Improvement
Identified gaps or barriers:				
Staff Training (Substance Use)	Excellent	Good	Fair	Needs Improvement
Identified gaps or barriers:				
Psychiatry and Medication Management	Excellent	Good	Fair	Needs Improvement
Identified gaps or barriers:				
Psychotherapy	Excellent	Good	Fair	Needs Improvement
Identified gaps or barriers:				
Substance Use Treatment Access	Excellent	Good	Fair	Needs Improvement
Identified gaps or barriers:				

Mental Health Treatment Access	Excellent	Good	Fair	Needs Improvement
Identified gaps or barriers:				
Other behavioral health supports	Excellent	Good	Fair	Needs Improvement
Identified gaps or barriers:				
Specialized Care	Excellent	Good	Fair	Needs Improvement
Identified gaps or barriers:				
Community Partners	Excellent	Good	Fair	Needs Improvement
Identified gaps or barriers:				

Step 4: Develop and Implement Your Plan

- 1. Form the team; include members from different departments.
- 2. Complete a Root Cause Analysis (RCA).
- 3. Establish an aim statement and create SMART Goals (Specific, Measurable, Achievable, Realistic, and Time-bound).
- 4. Prioritize and establish what will be measured.
- 5. Select ideas for change that will result in improvement.
- 6. Test the change using a PDSA Cycle.
- 7. Implement the change after testing.
- 8. Spread the change to other parts of the facility. Include the change in the facility policy and required staff trainings.

Notes:

APPENDIX

Appendix A

Common Mental Health Diagnosis

Mood Disorders

- Bipolar I Disorder
- Bipolar II Disorder
- Cyclothymic Disorder
- Disruptive Mood Dysregulation Disorder
- Major Depressive Disorder/Episode
- Persistent Depressive Disorder (dysthymia)
- Premenstrual Dysphoric Disorder
- Substance/Medication-Induced Depressive Disorder
- Depressive disorder due to another medical condition
- Other specified depressive disorder
- Unspecified depressive disorder

Schizophrenia Spectrum and Other Psychotic Disorders

- Schizophrenia
- Schizophreniform Disorder
- Schizoaffective Disorder
- Delusional Disorder
- Brief Psychotic Disorder
- Psychotic Disorder Due to Another Medical Condition
- Substance/Medication-Induced Psychotic Disorder
- Unspecified Schizophrenia Spectrum and Other Psychotic Disorder
- Other Specified Schizophrenia Spectrum and Other Psychotic Disorder

Anxiety Disorders

- Separation Anxiety Disorder
- Selective Mutism
- Specific Phobia

- Social Anxiety Disorder (Social Phobia)
- Panic Disorder
- Panic Attack Specifier
- Agoraphobia
- Generalized Anxiety Disorder
- Substance/Medication-Induced Anxiety Disorder
- Anxiety Disorder Due to Another Medical Condition
- Other Specified Anxiety Disorder
- Unspecified Anxiety Disorder

Obsessive-Compulsive and Related Disorders

- Obsessive-Compulsive Disorder (OCD)
- Body Dysmorphic Disorder
- Trichotillomania (hair-pulling disorder)
- Hoarding Disorder
- Excoriation Disorder (skin-picking)
- Other specified obsessive-compulsive and related disorders

Trauma and Stressor Related Disorders

- Post-Traumatic Stress Disorder (PTSD)
- Acute Stress Disorder (ASD)
- Adjustment Disorder
- Prolonged Grief Disorder
- Reactive Attachment Disorder (RAD) (diagnosed only in children)
- Disinhibited social engagement disorder (DSED) (diagnosed only in children)
- Other specified trauma/stressor-related disorder
- Unspecified trauma/stressor-related disorder

Appendix B

Common Substance Use Diagnosis

Substance Use Disorders

- Alcohol Intoxication
- Alcohol Use Disorder
- Opioid Intoxication
- Opioid Use Disorder
- Opioid Withdrawal
- Sedative/Hypnotic/Anxiolytic Use Disorder

- Cocaine Use Disorder
- Cannabis Use Disorder
- Inhalant Use Disorder
- Polysubstance Dependance
- Amphetamine Use Disorder
- Phencyclidine Use Disorder

Appendix C

Types of Trauma

Acute Trauma- Single Unexpected Event

- Crime or Accidents
- Witnessing a Crime, Accident, or Violence
- Intimate Partner Violence
- Life-Threatening Illness
- Serious Injury
- Physical Assault/Violence
- Sexual Assault/Violence
- Childbirth
- Natural Disaster or Environmental Event
- Suicide Attempt

Complex- Multiple chronic, or prolonged exposure to traumatizing events

- Domestic Violence
- Early Childhood Abuse or Neglect
- Physical Abuse

- Sexual Abuse
- Emotional Abuse
- War Related Experiences

Chronic Trauma- Ongoing or repeated traumatic experiences

- Verbal Abuse
- Physical Abuse
- Sexual Abuse
- Emotional Abuse
- Poverty
- Sex Trafficking
- Bullying
- Medical Systems Trauma
- Refugee Trauma
- Domestic Violence

Appendix D

Common Medications to Treat Mental Health Condition

Psychotropic Medications

Selective Serotonin Reuptake Inhibitors (SSRI)

- Citalopram (Celexa)
- Escitalopram (Lexapro)
- Fluoxetine (Prozac)
- Paroxetine (Paxil, Pexeva)
- Sertraline (Zoloft)

Serotonin and Norepinephrine Reuptake Inhibitors (SNRI)

- Desvenlafaxine (Pristiq)
- Duloxetine (Cymbalta)
- Levomilnacipran (Fetzima)
- Venlafaxine (Effexor XR)

Norepinephrine and Dopamine Reuptake Inhibitors (NDRI)

- Bupropion (Wellbutrin, Zyban, Alpezin)
- Dexmethylphenidate (Focalin)
- Methylphenidate (Concerta, Methylin, Metadate)

Tricyclic Antidepressant (TCAs)

- Amitriptyline (Elavil)
- Clomipramine (Anafranil)

- Doxepin (Sinequan)
- Imipramine (Tofranil)
- Desipramine (Norpramin)

Norepinephrine and Dopamine Reuptake Inhibitors (NDRI)

- Amitriptyline (Elavil)
- Clomipramine (Anafranil)
- Doxepin (Sinequan)
- Imipramine (Tofranil)
- Desipramine (Norpramin)

Benzodiazepines

- Clonazepam (Klonopin)
- Diazepam (Valium)
- Lorazepam (Ativan)
- Alprazolam (Xanax)
- Oxazepam (Serax)

Anticonvulsants

Pregabalin (Lyrica)

Azaperone

Buspirone (Buspar)

Antipsychotic Medications

First-generation (typical) Antipsychotic

- Chlorpromazine (Thorazine)
- Fluphenazine (Prolixin, Permitil)
- Haloperidol (Haldol)
- Loxapine (Adusuve, Loxitane)
- Molindone (Moban)
- Perphenazine (Trilafon)
- Pimozide (Orap)
- Prochlorperazine (Comprom, Compazine)
- Thiothixene (Navane)
- Thoridazine (Mellaril)
- Trifluoperazine (Stelazine)

Second-generation (atypical) Antipsychotic

- Aripiprazole (Abilify, Aristada)
- Asenapine (Secuado, Saphris)
- Brexpiprazole (Rexulti)
- Cariprazine (Vraylar)
- Clozapine (Clozaril, Versacloz).
- Iloperidone (Fanapt)
- Lumateperone (Caplyta)
- Lurasidone (Latuda)
- Olanzapine (Zyprexa, Lybalvi, Symbyax)
- Quetiapine (Seroquel)
- Paliperidone (Invega)
- Pimavanserin (Nuplazid)
- Risperidone (Perseris, Risperdal)
- Ziprasidone (Geodon)

Appendix E

Common Medications for Substance Use Disorders

- Naltrexone (Vivitrol)
- Buprenorphine (Suboxone, Methadone)
- Disulfiram (Antabuse)
- Acamprosate (Campral)
- Modafinil (Provigil)
- Bupropion (Wellbutrin, Zyban)

- Gabapentin (Neurontin)
- Mirtazapine (Remero)
- Topiramate (Topamax)
- Baclofen (Lioresal)
- Vigabatrin (Sabril)

References:

Diagnostic And Statistical Manual Of Mental Disorders (5th Ed., Text Rev.)

National Child Trauma Stress Network

Substance Abuse and Mental Health Services Administration Medications for Substance use Disorders

The American Psychiatric Publishing Textbook of Psychopharmacology, Fifth Edition

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