



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

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 P Preferences assessment of residents' behavioral health needs and staff training and skills within the required use conditions.

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



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

Facility Name: _____ Date: _____

Staff/Departments Involved:

Administrator: _____ Activity Department: _____

Behavioral Health Champion: _____ Certified Nursing Assistant (CNA): _____

Director of Nursing: _____ Medical Director: _____

Mental Health Provider: _____ MDS Coordinator: _____

Pharmacist: _____ Social Services Director: _____

Social Worker: _____ Other: _____

Notes:

Step 1: Assess the Facility Characteristics and Needs

<p>Mental Health Diagnosis Sources</p> <ul style="list-style-type: none"> Electronic Medical Record (EMR) Hospital Transfer Records Minimum Data Set (MDS) Psychiatric Consult Notes Social Services Assessments 	<p>What mental health diagnoses do you see in your current resident population?</p>
<p>Percentage of Residents with a Mental Health Diagnosis</p> <p>See Appendix A for common mental health diagnoses. </p>	<p>Which validated mental health screenings are currently being conducted at intake or routinely conducted?</p>
<p>Medication Sources</p> <ul style="list-style-type: none"> Electronic Medical Record (EMR) Kardex Pharmacist Consultant Reports Physician Notes Specialist Notes 	<p>What diagnoses trends did you find among your current resident population and what is the percentage?</p> <p>Number of residents with a mental health diagnosis _____</p> <p>Percentage of population _____%</p> <p><small>*Number of Residents/Census x 100 = % of Population</small></p>
<p>Percentage of residents on a medication to treat a mental health condition.</p> <p>See Appendix D for common medications to treat mental health conditions. </p>	<p>What antipsychotic medications are existing residents prescribed?</p>
<p>Percentage of residents on a medication to treat a mental health condition.</p> <p>See Appendix D for common medications to treat mental health conditions. </p>	<p>What psychotropic medications are existing residents prescribed?</p>
<p>Percentage of residents on a medication to treat a mental health condition.</p> <p>See Appendix D for common medications to treat mental health conditions. </p>	<p>What medication trends did you find among your current resident population and what is the percentage of the resident population?</p> <p>Number of residents on an antipsychotic medication _____</p> <p>Percentage of population _____%</p> <p><small>*Number of Residents/Census x 100 = % of Population</small></p> <p>Number of residents on a psychotropic medication _____</p> <p>Percentage of population _____%</p> <p><small>*Number of Residents/Census x 100 = % of Population</small></p>

Substance Use Disorder Sources

- Electronic Medical Record (EMR)
- Hospital Transfer Records
- Minimum Data Set (MDS)
- Physician Notes
- Specialist Notes
- Social Services Assessment
- SUD Screening Results

[See Appendix B](#) for common substance use diagnosis. 

What substance use diagnoses did you find in your current resident population?

How many current residents have a history of substance use disorders without a diagnosis?

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)?

Which validated substance use screenings are currently being conducted at intake or routinely conducted?

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 medication to treat a substance use disorder.

[See Appendix E](#) for common medications to treat mental health conditions. 

What substance use disorder trends did you find among your current resident population and what is the percentage of the resident population?

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*

<p>Trauma History Sources</p> <ul style="list-style-type: none"> • Minimum Data Set (MDS) • Electronic Medical Record (EMR) • Social Services Assessment • Trauma Screening Results <p>See Appendix C for types of trauma </p>	<p>Do you conduct trauma screenings on all residents?</p>
	<p>What trauma-related trends did you find in your current resident population and what is the percentage of the resident population?</p> <p>Number of residents with trauma history _____</p> <p>Percentage of population _____%</p> <p><small>*Number of Trauma/Census x 100 = % of Population</small></p>

<p>PASSR Level 2 Sources</p> <ul style="list-style-type: none"> • Hospital Transfer Records • Minimum Data Set (MDS) • State PASSR Database • Facility Hardcopy Records • Electronic Medical Record (EMR) 	<p>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?</p>
	<p>Residents with PASSR Level 2 _____</p> <p>Percentage of population _____%</p> <p><small>*Number of PASSR Level 2/Census x 100 = % of Population</small></p>

<p>Mental Health/Substance Use Related Incidents</p> <ul style="list-style-type: none"> • Accident/Incident Report Forms (past year) 	<p>What mental health or substance use-related incidents have happened in the last 12 months at your facility?</p>
	<p>Do you have behavioral health huddles?</p>
	<p>What trends did you find in the mental health and substance use incidents?</p> <p>Number of mental health related incidents within the last 12 Months _____</p> <p>Number of substance use related incidents within the last 12 Months _____</p>

Step 2: Determine the Facility Behavioral Health Capacity

<p>Staff Training Topics</p> <p>(This is not a comprehensive list of training topics.)</p> <ul style="list-style-type: none"> Behavioral Health Equity Crisis Management CNA specific training De-Escalation Strategies Interpersonal Communication Skills Culturally and Linguistically Appropriate Services Trauma Informed Care Post Traumatic Stress Disorder Person Centered Care Screening and assessment Non-pharmacological Interventions Other 	<p>What are your current mental health and substance use training requirements?</p>
	<p>Which staff are required to complete the training?</p>
	<p>What are your orientation/new hire onboarding training requirements?</p>
<p>Mental Health Specific</p> <ul style="list-style-type: none"> Diagnoses specific trainings (i.e., schizophrenia, bipolar disorder) Mental Health Awareness Suicide Prevention Grief and Loss Other 	<p>What are your ongoing/annual requirements?</p>
<p>Substance Use/Co-Occurring Disorders-Specific</p> <ul style="list-style-type: none"> Diagnoses specific trainings (i.e., opioid, alcohol use, cannabis) Substance Use Awareness Signs and symptoms Overdose Prevention Co-Occurring Disorders Medications to treat substance use disorders Naloxone (Narcan) Administration Other 	<p>What are the training requirements “agency staff” working at your facility?</p>
	<p>What are your identified gaps or barriers?</p>

<p>Psychiatry and Medication Management</p> <ul style="list-style-type: none"> • Psychiatrist • Geriatric Psychiatrist • Psychiatric Nurse Practitioner • Telepsychiatry • Attending Physician 	<p>Who currently assesses and prescribes mental health/substance use medications for residents?</p>
	<p>What is the frequency and format of these assessments (in-person or virtual)?</p>
	<p>What additional psychiatric support is needed?</p>
	<p>Are the practitioners representative of the resident population regarding race, ethnicity, and native language?</p>
	<p>What are your identified gaps or barriers?</p>

<p>Psychotherapy and Substance Use Treatment</p> <p>Psychotherapy Providers</p> <ul style="list-style-type: none"> • Psychologist • Licensed Clinical Social Worker • Licensed Professional Counselor • Community Mental Health Centers • PASSR Providers • Grief Counselor • Teletherapy Provider • Group Therapist 	<p>Who currently provides psychotherapy (counseling) services for residents?</p>
	<p>Who currently provides substance use treatment services for residents?</p>
	<p>What is the frequency and format of these services (in-person or virtual)?</p>

<p>Substance Use Treatment Providers</p> <ul style="list-style-type: none"> • Buprenorphine Practitioners • Certified Addiction Counselors • Opioid Treatment Programs • Opioid Treatment Programs • Substance Use Treatment Programs (outpatient, inpatient, residential) 	<p>What types of services are offered?</p>
	<p>Are the providers representative of the resident regarding race, ethnicity, and native language?</p>
	<p>What are your identified gaps or barriers?</p>

<p>Other Behavioral Health Supports</p> <ul style="list-style-type: none"> • Recreational therapy <ul style="list-style-type: none"> ○ Art Therapy ○ Music Therapy ○ Pet Therapy • Peer Support • Other 	<p>Do you offer any other behavioral health focused support for residents?</p>
	<p>What types of services are offered?</p>
	<p>What are your identified gaps or barriers?</p>

<p>Specialized Care</p> <ul style="list-style-type: none"> • Specific Areas/Units • Cohorted Populations • Specialized Behavioral Health Consultant • Full-time Behavioral health team member 	<p>Do you have any specialized care areas or unique populations currently in your facility?</p>
	<p>What are your identified gaps or barriers?</p>

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 Dependence
- Amphetamine Use Disorder
- Phencyclidine Use Disorder

Appendix C
Types of Trauma

<p>Acute Trauma- Single Unexpected Event</p> <ul style="list-style-type: none"> • 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 <p>Complex- Multiple chronic, or prolonged exposure to traumatizing events</p> <ul style="list-style-type: none"> • Domestic Violence • Early Childhood Abuse or Neglect • Physical Abuse 	<ul style="list-style-type: none"> • Sexual Abuse • Emotional Abuse • War Related Experiences <p>Chronic Trauma- Ongoing or repeated traumatic experiences</p> <ul style="list-style-type: none"> • Verbal Abuse • Physical Abuse • Sexual Abuse • Emotional Abuse • Poverty • Sex Trafficking • Bullying • Medical Systems Trauma • Refugee Trauma • Domestic Violence
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Appendix D
Common Medications to Treat Mental Health Condition

<p><u>Psychotropic Medications</u></p> <p>Selective Serotonin Reuptake Inhibitors (SSRI)</p> <ul style="list-style-type: none"> • Citalopram (Celexa) • Escitalopram (Lexapro) • Fluoxetine (Prozac) • Paroxetine (Paxil, Pexeva) • Sertraline (Zoloft) <p>Serotonin and Norepinephrine Reuptake Inhibitors (SNRI)</p> <ul style="list-style-type: none"> • Desvenlafaxine (Pristiq) • Duloxetine (Cymbalta) • Levomilnacipran (Fetzima) • Venlafaxine (Effexor XR) <p>Norepinephrine and Dopamine Reuptake Inhibitors (NDRI)</p> <ul style="list-style-type: none"> • Bupropion (Wellbutrin, Zyban, Alpezin) • Dexamethylphenidate (Focalin) • Methylphenidate (Concerta, Methylin, Metadate) <p>Tricyclic Antidepressant (TCAs)</p> <ul style="list-style-type: none"> • Amitriptyline (Elavil) • Clomipramine (Anafranil) 	<ul style="list-style-type: none"> • Doxepin (Sinequan) • Imipramine (Tofranil) • Desipramine (Norpramin) <p>Norepinephrine and Dopamine Reuptake Inhibitors (NDRI)</p> <ul style="list-style-type: none"> • Amitriptyline (Elavil) • Clomipramine (Anafranil) • Doxepin (Sinequan) • Imipramine (Tofranil) • Desipramine (Norpramin) <p>Benzodiazepines</p> <ul style="list-style-type: none"> • Clonazepam (Klonopin) • Diazepam (Valium) • Lorazepam (Ativan) • Alprazolam (Xanax) • Oxazepam (Serax) <p>Anticonvulsants</p> <ul style="list-style-type: none"> • Pregabalin (Lyrica) <p>Azaperone</p> <ul style="list-style-type: none"> • Buspirone (Buspar)
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<p><u>Antipsychotic Medications</u></p> <p>First-generation (typical) Antipsychotic</p> <ul style="list-style-type: none"> • 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) 	<p>Second-generation (atypical) Antipsychotic</p> <ul style="list-style-type: none"> • 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)
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<p><u>Appendix E</u></p> <p>Common Medications for Substance Use Disorders</p>	
<ul style="list-style-type: none"> • Naltrexone (Vivitrol) • Buprenorphine (Suboxone, Methadone) • Disulfiram (Antabuse) • Acamprosate (Campral) • Modafinil (Provigil) • Bupropion (Wellbutrin, Zyban) 	<ul style="list-style-type: none"> • Gabapentin (Neurontin) • Mirtazapine (Remero) • Topiramate (Topamax) • Baclofen (Lioresal) • Vigabatrin (Sabril)

<p><u>References:</u></p> <p>Diagnostic And Statistical Manual Of Mental Disorders (5th Ed., Text Rev.). https://doi.org/10.1176/appi.books.9780890425787</p> <p>National Child Trauma Stress Network. www.nctsn.org</p> <p>Substance Abuse and Mental Health Services Administration Medications for Substance use Disorders. https://www.samhsa.gov/medications-substance-use-disorders</p> <p>The American Psychiatric Publishing Textbook of Psychopharmacology, Fifth Edition</p>
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