



**TRAC**

Transformation Accountability  
Center for Mental Health Services

Garrett Lee Smith  
State/Tribal and Campus Suicide Prevention  
Grantees

Annual Goals and Budget Information

Training Presentation  
October 2012



# Objective

At the end of today's session, you will know more about:

- TRAC Annual Goals and Budget Information: Reporting activities
- Completing the Annual Goals and Budget Information: Reporting forms in TRAC



# Key Definitions

For reference, you can find key definitions for TRAC by referring to the following IPP training guides:

- ✓ Overview of Indicators Guide
- ✓ TRAC System Overview and How to Enter Results Guide
- ✓ Step by Step Checklist: Setting and Entering Annual Goals and Budget Estimates (2 pages)
- ✓ At-A Glance Tool: IPP Indicators (4 page cheat sheet)

All guides can be found on the TRAC website at:

<https://www.cmhs-gpra.samhsa.gov> > General Info & Training



# Agenda

- Overview of the TRAC Annual Goals
- Setting your annual goals & estimating your budget information
- Accessing the TRAC System
- Entering your annual goals
- Entering your budget information
- How to access the TRAC Help Desk
- Questions & Answers



## Purpose of TRAC Annual Goals

1. *Quantify* what you plan to accomplish with your grant
2. *Use* for performance and program management
3. *Develop* in collaboration with your GPO

TRAC is a “Goals-Based” type evaluation  
used to assess & monitor the extent your project  
is meeting its goals



# Getting Started

## Annual Performance Goals are:

- Consistent with goals outlined in application. DO NOT ADD OR MAKE UP NEW GOALS!
- Realistic, attainable & tied to your work plan
- Based on your grant project period: August 1- July 31
- Set for ***each individual*** grant year; not cumulative
- Updated and changed once a year, if needed



## **Timetable: Quarterly IPP Indicator Data vs. Annual Goals and Budget Estimates**

- Annual goals and budget estimates are based on project grant year : August 1 to July 31; NOT the fiscal year
- Quarterly IPP Indicator reporting and data are based on the Federal Fiscal Year



# What is an Annual Performance Goal?

*It is a Numeric Value Set for Each IPP Indicator*

## Campus Grants

1. PC1 (Partnerships)
2. AW1 (Awareness)
3. TR1 (Training of non-mental health professionals)
4. WD2 (workplace development training of mental health professionals )

## State/Tribal Grants

1. PC1
2. AW1
3. TR1
4. WD2
5. S1 (Screening)
6. R1 (Referral)
7. AC1 (Access)



## Step 1. How to set your TRAC Annual Goals

1. *Review* the stated goals/objectives in your application program plan. What are you planning to do and achieve?
2. *Know* the definitions of the required IPP indicators: WD2, TR1, PC1, AW1 (**State/Tribal has 3 additional: S1, R1, AC1**)
3. *Identify* which IPP indicator applies to your stated goal for **each** grant year
4. *Count* the number of activities you plan for **each** grant year for **each** IPP Indicator to calculate your goals
5. *Identify* which IPP Indicator (s), if any, is **NOT** a goal of your project



## **Step 2. Enter a numeric Annual Goal for *each* IPP Indicator for *each* grant year (Campus and State/Tribal grants)**

- For PC1, enter the **total** number of organizations that your grant plans to establish written formal MOUs, MOAs, contracts
- For AW1, enter **the total** number of individuals you plan to reach through mental health awareness activities
- For WD2, enter **the total** number of individuals that you plan to train
- For TR1, enter the total **number of individuals** (non-mental health professionals) that you plan to train



## **Step 2. (cont.) Enter a numeric Annual Goal for each IPP Indicator for each Grant year (State/Tribal grants)**

- For S1, enter the total number of individuals that your grant plans to screen
- For R1, enter the total number of individuals your grant plans to refer to mental health or related services
- For AC1, enter the *percentage* of individuals expected to be receiving mental health services after referral



## **Step 3. Identify IPP Indicator(s) no planned goals**

1. There is no negative consequences of having a goal of Zero “0” for a particular Indicator
2. Goals are based on your application program plans. Do NOT make or ADD new goals.
3. A cell that is **left “blank” and empty** is interpreted as missing data.
4. You must enter a numeric value in each cell for each grant year. This includes a Zero “0”



## Step 3. (cont.) Enter a Zero “0” for Indicator with no set goals

➤ *Example:* PC1

If you do not have a goal of establishing MOUs, then enter a goal of **Zero “0”** for PC1 for the *given* grant year



## Step 4. STOP!

### Review your Annual Goals for Each IPP Indicator for each Grant Year:

- Are **ALL** of the cells for **ALL** of the grant years filled in with a numeric value ?
- For IPP Indicators with NO planned goals, did you enter Zero “0”?
- Are there *any* cells left blank and empty? GO BACK and fill them in!
- Did you click the SAVE button? If not, your data will be lost



## **TIP: Navigating the TRAC System Annual Goals Section and Budget Estimate Section are connected**

- After you enter and save Annual Goals into TRAC, you will be able to access the Budget Section
- In order to get to the Budget Section, you must enter data and complete the Annual Goals section first



# Budget Estimates

- Report total annual Federal budget amount per grant year
- Estimate how of your annual budget you plan to spend on the four TRAC Budget Categories
- Estimates are entered for **each** budget year; not cumulative
- Budget is not directly linked to the IPP Indicators



# Getting Started: Resources You Need to Create Budget Estimates

1. Review your budget in application
2. Review your Notice of Award (NoA) for total Federal award amount for each grant year
3. Know the four TRAC Budget Categories



# There are 6 Budget Categories on the TRAC Screen

## Create Budget Estimates for

1. Infrastructure Development
2. Data Collection/Evaluation
3. Promotion/Prevention
4. Project Management

## DO NOT Create Budget Estimates for

5. Services Provision (Direct-Client Treatment)
6. Technical Assistance

Because these categories are non-applicable, you must enter a ZERO "0" in the Cell for all 3 years



	Previous Year	Current Year	Next Year		
Category	(8/1/2011 - 7/31/2012)	(8/1/2012 - 7/31/2013)	(8/1/2013 - 7/31/2014)	(8/1/2014 - 9/30/2014)	
Award Amount per Grant Year	480000 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	480000 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	480000 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	0 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	
Services Provision					
<del>Dollar Amount</del>	0 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	0 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	0 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	0 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	
Infrastructure Development					
Dollar Amount	29550 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	29550 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	29550 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	0 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	
Data Collection, Evaluation, Performance Measurement and Assessment					
Dollar Amount	73000 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	73000 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	73000 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	0 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	
Mental Illness Prevention and Mental Health Promotion Activities					
Dollar Amount	319000 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	319000 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	319000 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	0 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	
Grant Administration					
Dollar Amount	58450 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	58450 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	58450 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	0 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	
Technical Assistance					
Dollar Amount	0 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	0 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	0 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	0 <input checked="" type="radio"/> Agree <input type="radio"/> Disagree	
Sum of Dollar Amounts per Grant Year	480000	480000	480000	0	
Percentage of Award Amount Accounted for:	100%	100%	100%	0%	





## Step 1. Enter Annual Grant Award Amount

- Enter your Federal Grant Award for **each** year in “Award Amount per Grant Year” row

*Refer to your Notice of Award (NoA) for your Federal Grant Amount allocations*



## **Step 2. Select ONE method for entering your Budget Estimates**

- Enter budget data by “Dollar Amount” OR “Percent of Annual Grant Award Amount”
- Select only ONE Method
- You can not use both methods!



## **Step 3. Enter a budget estimate amount for each budget category for each grant year**

**To determine a budget estimate amount, consider the following:**

- ✓ The type of activities you plan to spend within each category
- ✓ Include all direct & indirect costs associated with each budget category. It is okay to estimate indirect costs.
- ✓ DO Not include: in-kind contributions, match costs, or carry over dollars



# 1. SERVICES PROVISION (Direct-Client Treatment Services)

Enter a “0” ZERO in the cell

This budget category is  
NON-APPLICABLE

Enter a ZERO “0” in the Cell



## 2. INFRASTRUCTURE DEVELOPMENT

Enter a budget estimate spent on the provision of infrastructure development activities, such as:

- developing new policies and sustainability planning
- building system capacity through workplace development trainings
- enhancing cross-system referral networks
- developing suicide prevention response protocols



### 3. DATA COLLECTION, EVALUATION, PERFORMANCE MEASUREMENT/ ASSESSMENT

Enter a budget estimate spent on activities involved in:

- collection, management, analysis, & reporting of data for your cross-site evaluation, GPRA, TRAC, SAMHSA reports
- efforts related to fidelity of program implementation and other process evaluation activities

**Campus:** Estimate **CANNOT exceed 20%** of annual grant amount

**State/Tribal:** Estimate **CANNOT exceed 15%** of annual grant amount



## **4. MENTAL ILLNESS PREVENTION /MENTAL HEALTH PROMOTION ACTIVITIES**

Enter a budget estimate spent on the provision of mental health awareness/ prevention/promotion activities:

- public awareness campaigns
- social marketing and engaging key stakeholders
- outreach /awareness activities
- product development and dissemination
- screening programs; information & referral
- life skills /wellness development



## 5. GRANT ADMINISTRATION

Enter a budget estimate spent on overall project management and administration such as:

- preparing reporting requirements
- preparing major budget/program modification requests
- reconciling grant budgets
- reviewing/managing project timelines
- preparing optional SAMHSA post-award grant requests



## 6. TECHNICAL ASSISTANCE

Enter a “0” ZERO in the cell

This budget category is  
NON-APPLICABLE

Enter a ZERO “0” in the Cell



# Sample Budget

Budget Category	Year One Grant Award	Year Two Grant Award	Year Three Grant Award
	100,000	95,000	105,000
1. Services Provision	0	0	0
2. Infrastructure Development	30%	35%	40%
3. Data Collection/Evaluation	20%	15%	15%
4. Prevention & Promotion	30%	35%	40%
5. Grant Administration	20%	10%	10%
6. Technical Assistance	0	0	0
<b>Sum</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



## Step 4. **STOP!** Review Your Budget Information

- Are **ALL** of the budget cells for **ALL** grant years filled in with a numeric value?
- Is Zero “0” entered for *Non-Applicable* “Services Provision”?
- Is Zero “0” entered for *Non-Applicable* “Technical Assistance”?
- Is the estimate for “Evaluation” less than 20% of annual budget for campus grants? (for State/Tribal - 15%)
- Are there any cells left blank and empty? **GO BACK** and fill them in for each grant year.
- Is the “Sum of Dollar Amounts” equal to the annual grant award OR “Is the Sum of Percents” equal to 100%



# Accessing TRAC

- Web-based system:
  - ✓ <https://www.cmhs-gpra.samhsa.gov/>
- Grant Project Directors will receive their user accounts and login information by Thursday, October 18th



# Public vs. Password-Protected Sections

- Public section does not require a password and contains general information about GPRAMA law and TRAC activities
- Password-protected section requires a password and is used by grantees to:
  - ✓ Access Annual Goals and Budget Information
- Use privacy practices
  - ✓ Do not post user IDs or passwords where others may view them
  - ✓ Do not share usernames and passwords



# IPP Goals

- Infrastructure Development activities
- Prevention & Mental Health Promotion activities

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Center for Mental Health Services

STAGING

User: Michelle Kiser  
Roles: Admin

Home > Data Entry > Annual Goals & Budget > Infrastructure Indicators

Print Cancel Save Previous Next

Grant #:

### Infrastructure Indicators

**Instructions:**  
For your current grant year and all future grant years, please enter a goal for each Indicator that you will collect during the grant performance period. Once complete, please select "Save" to save the data then "Next" to go to the next screen.

Categories & Indicators	Previous Year		Current Year		Next Year	
	(10/1/2010 9/30/2011)	(10/1/2011 9/30/2012)	(10/1/2012 9/30/2013)	(10/1/2013 9/30/2014)	(10/1/2014 9/29/2015)	
<b>Workforce Development</b>						
WD1 - The number of organizations or communities implementing mental health-related training programs as a result of the grant.	16	20	12	8	4	
<b>Organizational Change</b>						
OC1 - The number of organizational changes made to support improvement of mental health-related practices/activities that are consistent with the goals of the grant.	8	5	6	5	3	
<b>Partnership/Collaboration</b>						
PC1 - The number of organizations that entered into formal written inter/intra-organizational agreements (e.g., MOUs/MOAs) to improve mental health-related practices/activities that are consistent with the goals of the grant.	20	12	8	6	4	
<b>Types/Targets of Practices</b>						
T2 - The number of programs/organizations/communities that implemented evidence-based mental health-related practices/activities as a result of the grant.	16	18	16	8	4	



# Entering Budget Information

## Dollar amount vs. percent of annual grant award amount

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STAGING

User: Michelle Kiser  
Roles: Admin

Home > Data Entry > Annual Goals > Budget Screen #1

Print Cancel Save Previous Next

Grant

### Budget Screen #1

**Instructions:**  
Enter your budget by first selecting how you will enter the data: select "Dollar Amounts" or "Percents of Annual Grant Award Amount". Select "Save" and then "Next" to enter your budget data.

**Warning:** You may come back to this screen later and change your previous choice of how to enter the data, but all of your previous budget data (saved or unsaved) will be cleared. You will be asked to confirm this choice before your budget data is cleared.

Do you want to enter the budget using Dollar Amounts or Percents of Annual Grant Award Amount?

Dollar Amount

Percents of Annual Grant Award Amount



# Entering Budget Information (Continued)

Home > Data Entry > Annual Goals & Budget > Budget Screen #2

Grant #:

## Budget

**Instructions:**  
 You selected "Dollar amounts" as the method for entering your data. Enter the budget data for your current grant year, and if possible any future grant years. Enter whole dollar amounts using numbers only (with no commas, decimal points, or \$ signs). Complete the following steps:  
 1. Enter the grant's award amount for each year in the "Award Amount per Grant Year" row.  
 2. Enter the dollar amount for each category in the "Dollar Amount" rows.  
 3. Select "Save" to save the data.  
 4. Select "Next" to go to the Summary screen.

**Note:** You will receive an error message if the total amount you entered as your grant award (either the sum of all the "Award Amount per Grant Year" amounts entered or the sum of all "Sum of Dollar Amounts per Grant Year") exceeds the "Total Grant Award on Record" (in the TRAC system). The message will display the Total Grant Award on Record. If you think the "Total Grant Award on Record" amount is incorrect, please contact the TRAC Helpdesk.

	Previous Year	Current Year	Next Year		
Category	(10/1/2008 - 9/30/2009)	(10/1/2009 - 9/30/2010)	(10/1/2010 - 9/30/2011)	(10/1/2011 - 9/30/2012)	(10/1/2012 - 9/30/2013)
Award Amount per Grant Year	<input type="text"/>	1554000	1544000	1544000	1388000
Services Provision					
Dollar Amount	<input type="text"/>	585000	620000	620000	581000
Infrastructure Development					
Dollar Amount	<input type="text"/>	397000	342000	342000	230000
Data Collection, Evaluation, Performance Measurement and Assessment					
Dollar Amount	<input type="text"/>	310000	310000	310000	305000
Grant Administration					
Dollar Amount	<input type="text"/>	262000	272000	272000	272000
Technical Assistance					
Dollar Amount	<input type="text"/>	0	0	0	0
Sum of Dollar Amounts per Grant Year	<input type="text"/>	1554000	1544000	1544000	1388000
Percentage of Award Amount Accounted for:	<input type="text"/>	100%	100%	100%	100%



# Entering Budget Information (Continued)

## Dollar amount vs. percent of annual grant award amount

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User: Elisabeth Cook  
Roles: Admin

Home > Data Entry > Annual Goals & Budget > Budget Screen #1

Print Cancel Save Previous Next

Grant #: Sample Jail Div

### Budget Screen #1

**Instructions:**  
Enter your budget by first selecting how you will enter the data: select "Dollar Amounts" or "Percents of Annual Grant Award Amount". Select "Save" and then "Next" to enter your budget data.

**Warning:** You may come back to this screen later and change your previous choice of how to enter the data, but all of your previous budget data (saved or unsaved) will be cleared. You will be asked to confirm this choice before your budget data is cleared.

Do you want to enter the budget using Dollar Amounts or Percents of Annual Grant Award Amount?

Dollar Amount

Percents of Annual Grant Award Amount

Navigation Menu:

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# Summary and Submit for Approval

Home > Data Entry > Annual Goals > Grantee Approval/Submission

Print Cancel Save Previous Next

Grant #:  

Save and Quit Submit for Approval

### Summary/Approval

**Instructions:**  
Please review your Goals data. Select one of the following:

- "Cancel" to cancel out of your data entry. (Changes will not be saved)
- "Save" to save your data. (Note: data will not be submitted for approval until "Submit for Approval" button is selected.)
- "Previous" to go back to previous sections to make any changes.
- "Save and Quit" to save your data and exit the Annual Goals form. (Note: data will not be submitted for approval until "Submit for Approval" button is selected.)
- "Submit for Approval" to submit your data for your GPO to approve. Please note, once you select "Submit for Approval", the form will be locked. If you need to unlock the form, please contact the TRAC Helpdesk.

#### Services

Grant Year	Previous		Current		Next		Cumulative
	(10/1/2008 - 9/30/2009)	(10/1/2009 - 9/30/2010)	(10/1/2010 - 9/30/2011)	(10/1/2011 - 9/30/2012)	(10/1/2012 - 9/30/2013)	(10/1/2013 - 9/30/2014)	
Example Grantee (10/1/2008 - 9/30/2014)	0	50	50	50	50	50	250

#### Infrastructure Indicators

Categories & Indicators	Previous		Current		Next	
	(10/1/2008 - 9/30/2009)	(10/1/2009 - 9/30/2010)	(10/1/2010 - 9/30/2011)	(10/1/2011 - 9/30/2012)	(10/1/2012 - 9/30/2013)	(10/1/2013 - 9/30/2014)
<b>Workforce Development</b> WD1 - The number of organizations or communities implementing mental health-related training programs as a result of the grant.		11	0	3	3	3
<b>Organizational Change</b> OC1 - The number of organizational changes made to support improvement of mental health-related practices/activities that are consistent with the goals of the grant.		0	0	0	0	0
<b>Partnership/Collaboration</b> PC1 - The number of organizations that entered into formal written inter/intra-organizational agreements (e.g., MOUs/MOAs) to improve mental health-related practices/activities that are consistent with the goals of the grant.		17	12	10	8	8
<b>Types/Targets of Practices</b> T2 - The number of programs/organizations/communities that implemented evidence-based mental health-related practices/activities as a result of the grant.		9	0	4	0	0

#### Budget

Category	Previous		Current		Next	
	(10/1/2008 - 9/30/2009)	(10/1/2009 - 9/30/2010)	(10/1/2010 - 9/30/2011)	(10/1/2011 - 9/30/2012)	(10/1/2012 - 9/30/2013)	(10/1/2013 - 9/30/2014)
Award Amount per Grant Year	1544000	1544000	1544000	1544000	1388000	1388000
Services Provision		40	40	40	40	40
Infrastructure Development		30	20	20	20	20
Data Collection, Evaluation, Performance Measurement and Assessment		20	30	30	30	30
Grant Administration		10	10	10	10	10
Technical Assistance		0	0	0	0	0
Sum of Percents per Grant Year	100%	100%	100%	100%	100%	100%
Sum of Dollar Amounts per Grant Year	1544000	1544000	1544000	1544000	1388000	1388000



# Grantee Deadline to Enter Annual Goals and Budget Estimate into TRAC

- Grantee Deadline to Enter Annual Goals and Budget Estimates is December 31, 2012
- Future Goals can be changed at the beginning of each new grant year (August to October 2013) upon GPO request.



# Refresher Trainings

For other questions about TRAC, please register for refresher trainings when offered:

- Infrastructure Development, Prevention & Mental Health Promotion “IPP” (Q&A sessions)
- Annual Goals and Budget Information (Q&A sessions)

Training dates and registration information are announced via the TRAC Help Desk



# How to Access TRAC

- Visit the TRAC website to view training guides and e-Trainings at:
  - ✓ <https://www.cmhs-gpra.samhsa.gov> > General Info & Training > Annual Goals and Budget Training
- Contact TRAC Help Desk with your questions at:
  - ✓ Phone: 1-888-219-0238
  - ✓ Email: [TRACHELP@westat.com](mailto:TRACHELP@westat.com)