



## Transformation Accountability (TRAC) Center for Mental Health Services

### Annual Goals and Budget Information Review Process Training Presentation for CMHS Staff

Version 2  
October 2015

Welcome and thank you for attending today's session on The Review Process for the Annual Goals and Budget Information.

You should already have received the Guide for CMHS Staff as an attachment in the training registration email. In addition these materials, and the slides I am presenting are also located on the TRAC website.



## Objectives

By the end of this presentation, you should:

- Understand the revision process
- Be able to navigate through the GPO Approval screen
- Know how to review grantee Annual Goals & Budget Information

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

Understanding **how** the Annual Goal and Budget Information revision process will work;

Navigating through the GPO Approval screen; and

Reviewing the Annual goals and Budget Information submitted by your grantees



## Agenda

- Overview of the TRAC Annual Goals & Budget Information
- Accessing the TRAC System
- Reviewing Annual Goals
- Reviewing Budget Information
- The Revision Process
- Accessing the TRAC Help Desk
- Questions & Answers

In today's session, we will have a brief overview of the TRAC Annuals Goals and Budget Information, how to access the TRAC system, and then review annual goals and budget information submitted by a sample grantee. We will also discuss how the revision process works if you request edits from your grantees to their annual goals and budget information after your review.



## Overview

- Purpose
- General Process

For the annual goals and budget information submissions, we informed the grantees to look at what they described to CMHS in their grant applications and work plans, as well as reports they submitted on accomplishments to you, the CMHS Project Officer, in quarterly or annual reports, or in continuation applications. Since those descriptions have mostly been written narratives, the TRAC Annual Goals and Budget Information system allows those narratives to be summarized into quantitative data. It does not replace those other reports.

The annual goals and budget information estimates will appear in various TRAC reports and can be used by CMHS for performance management and oversight.

In terms of the General Process for the grantees – The grantees enter annual goals and budget information estimates for their grants directly into the TRAC system.



## What are TRAC Annual Goals?

- Grantees are asked to set goals
  - ✓ For all grant years
  - ✓ Specific to TRAC activities
  - ✓ Limited to relevant TRAC modules (IPP and/or NOMs Client-level Measures (Services Activities))
  - ✓ Grantees are encouraged to use pre-approved goals, if applicable

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Each CMHS grant is required to set annual goals for what they intend to achieve for all their grant years. The goals are specific to TRAC – the grantees only set goals for items they report on for TRAC based on whether the grant funds IPP activities, services activities, or both.

The grantees were instructed that if CMHS had already approved goals for their grant, they should enter the goals as approved without making any changes. However, since they have to set goal allocations by grant year, if CMHS has approved an overall cumulative goal, they had to also estimate goals for all future grant years.

The Annual Goals and Budget Information Guide provides more information on how the grantees were instructed to complete the Annual Goals and Budget Information. That guide can be found on the TRAC website.



## What is TRAC Budget Information?

- Grantees enter budget information for all grant years
- Grantees enter budget information of the following TRAC activities as applicable
  - ✓ NOMs Client-level Measures (Services) Provision
  - ✓ Infrastructure Development Activities
  - ✓ Data Collection, Evaluation, and Performance Measurement and Assessment
  - ✓ Mental Illness Prevention and Mental Health Promotion Activities
  - ✓ Grant Administration
  - ✓ Technical Assistance (TA)

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The grantees were asked to report budget information for each of the grant years. They report the total budget amount per grant year, and then estimate how the total budget fits into the categories listed on this slide.

The grantees can enter budget information for any of the activities listed on this slide, even if their grant is not required to report TRAC data for an activity. For example, if a grant spends a substantial amount on screening, but does not report on the screening indicator for IPP, they should still report the percentage or dollar amount spent on screening in the total for Mental Illness Prevention and Mental Health Promotion Activities. Any activities that are performed by the grant that are consistent with the definitions in the IPP or Services guides can be counted in the budget information form. If the grant does not do one or more of the activities listed on the slide, they would enter 0.

I would like to review these budget information categories in a little more detail before I start the system demonstration. Full definitions of these categories can be found in the Guide.

**Service Provision:** this is the budget category for activities to provide treatment to consumers. Activities that are consistent with Service Provision, even if grant is not required to report data on Service Provision into TRAC should be recorded here.

**Infrastructure Development:** this is the budget category for activities to build infrastructure to prevent mental illness and promote mental health. Activities which are consistent with any of the TRAC infrastructure indicators count as infrastructure activities, even if the grant is not required to report data on infrastructure indicators into TRAC.

**Data Collection, Evaluation, & Performance Measurement & Assessment:** this is the budget category for the time and resources spent collecting and reporting TRAC data, as well as any other time or resources expended to collect and use data to demonstrate or improve the effectiveness of the project.

**Mental Illness Prevention and Mental Health Promotion Activities:** this is the budget category for activities to accomplish prevention and or promotion goals consistent with the and of the TRAC prevention and mental health promotion indicators. Activities which are consistent with any of the TRAC Prevention and Promotion indicators count as activities, even if the grant is not required to report data on prevention and promotion indicators into TRAC.

**Grant Administration:** this is the budget category for general activities required for the overall management and administration of the project.

**Technical Assistance:** This is only applicable to grants (or contracts) that provide technical assistance to other entities. Although in some cases grantees use grant funds to purchase technical assistance, those funds should *not* be counted as technical assistance dollars for TRAC cost estimating purposes; instead, use of grant funds to purchase technical assistance should be counted under the category to which the technical assistance applies (i.e. technical assistance regarding how to satisfy evaluation requirements would count under the evaluation category).



## Accessing TRAC

- Web-based system:
  - ✓ <https://www.cmhs-gpra.samhsa.gov/>
- TRAC Help Desk creates user accounts
- TRAC Help Desk offers ongoing assistance

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TRAC is a web-based system.

- The TRAC help desk sets up user accounts based on information we receive from the grant information form.

To access TRAC, we recommend that you use Internet Explorer (version 9.0 or 10.0). Other browsers are not currently supported.

- Once the help desk creates your account you will receive an email with your username and temporary password. Details about changing your initial password and how often it expires can be found in the Annual Goals Guide in the login on section.



## Public vs. Password-Protected Sections

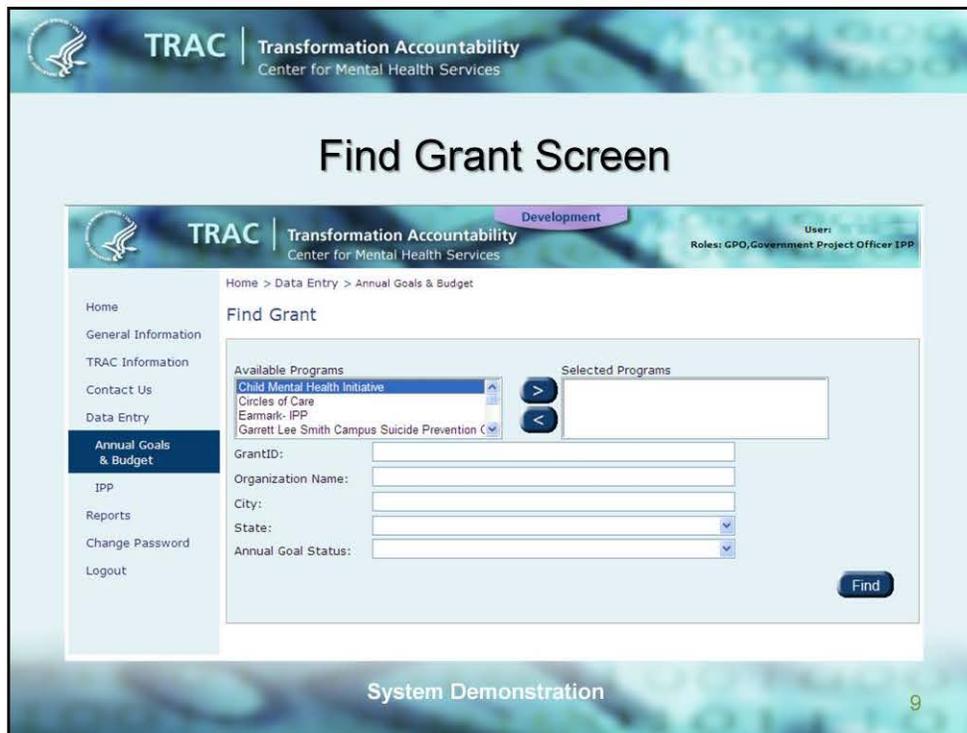
- **Public section**
  - ✓ Does not require a password
  - ✓ Contains general information about GPRA law and TRAC activities.
- **Password-protected section**
  - ✓ Requires a password
  - ✓ Is used by grantees to access Annual Goals and Budget Information
- **Use privacy practices**
  - ✓ Do not post usernames or passwords where others may view them
  - ✓ Do not share usernames and passwords

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When accessing the TRAC website, there are separate sections:

1. The public section of the website is open to anyone on the web. This section contains information on: GPRA Law, and other TRAC activities
2. The password-protected section of the website is only open to those CMHS staff and grantees that have usernames and passwords. You need to be logged into the TRAC system to access, review, and approve your grants' Annual Goals and Budget Information.

And finally, please use common privacy practices when using the TRAC website.



At the Find Grant screen you see the programs and grants to which you have access. Select the program in the Available Programs box, click on the forward arrow to add it to the Selected Programs box.

Click on the Find button to see a list of grants you have access to in the program(s) you have selected.

Also, On the Find Grant screen you may search by Grant ID, Organization Name, City and/or State to find grants. Input the information and click on the Find button. However, unless you are looking for a specific grant, you will likely find it most useful to search by program than these other options.

You may also search by Annual Goal Status. Select one of the categories from the Annual Goal Status drop down box and click on the Find button. The system will generate a list of your grants that have the selected status.

If you make no selections and hit the find button, the system shows you all the available programs and grants that you have access to.

Program/GrantID	Organization Name	City/State/Zip	Status
Select SFN 4123	Grantee A	Little Rock/Arkansas/72204	Incomplete
Select SFN 8466	Grantee B	McHenry/Illinois/60051	Ready For Approval
Select SFN E546	Grantee E	Lake Oswego/Oregon/97035	Approved
Select SFN F887	Grantee F	Bismarck/North Dakota/58504	Update and Resubmit for Approval
Select SFN 0988	Grantee G	Columbia/Maryland/21044	No Data Entered
Select SFN H741	Grantee H	Boston/Massachusetts/02108	No Data Entered

I'm going to search for a sample grant to present their annual goals and budget information data and demonstrate how the GPO review process works.

Once you have the list of grants with the specifications you have selected, click on the Select link to go to review the annual goals and budget information for a particular grant. You can sort this list by the column headings. Click on the column heading and the list will be sort ascending or descending if you click on it again

You will notice that this list can be used as a quasi-report of the status of completion. This is where you look to see if there are grants ready for your review. When I click on Status, the system will show me exactly what grants are ready for my review.

Let me explain in further detail what each of the Annual Goal Status options are:

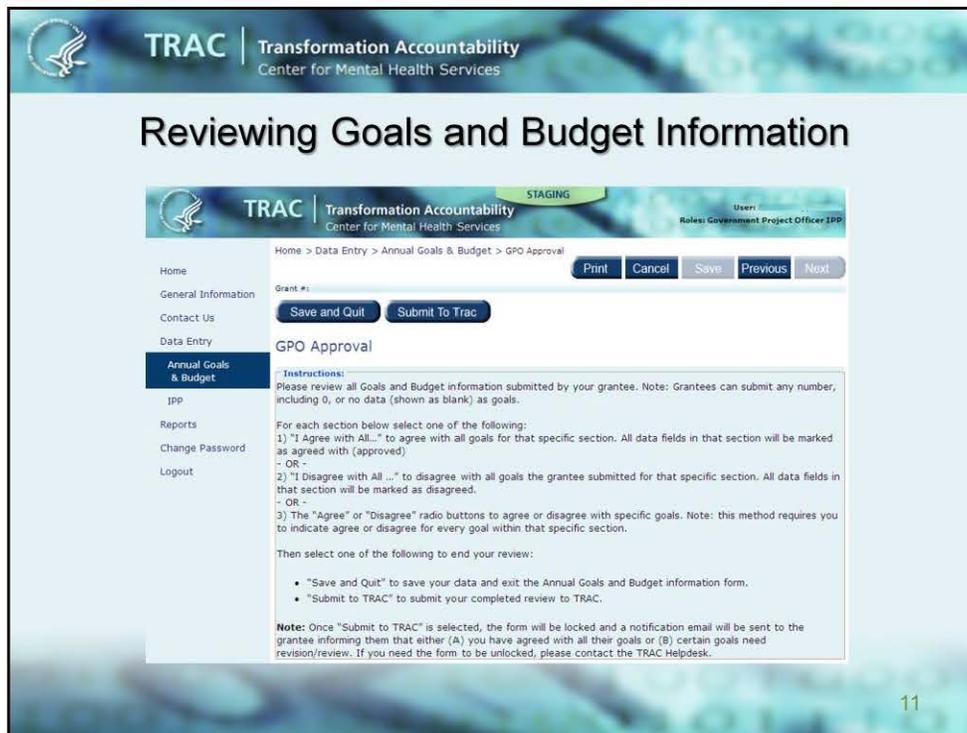
**No Data Entered:** the Grant has not yet entered any annual goals or budget information.

**Incomplete:** the Grant has entered some data for annual goals and/or budget information but has not finished.

**Ready for Approval:** the Grant has entered all annual goals and budget information and it is ready for you to review.

**Update and Resubmit for Approval:** the annual goals and budget information have been reviewed by you and you are requesting the Grant to go back into the TRAC system and edit the data because you disagreed with some of the goals and/or budget information.

**Approved:** the annual goals and budget information has been reviewed and approved by you.



The Annual Goals and Budget information screen provides all the goals and budget information that were entered for a particular grant. This is where you review and agree or disagree with what has been submitted. A grant can submit any number, including zero (0), or no data (which is shown as blank).

For ease of training we will discuss the GPO Approval Screen in sections: Instructions, Services Goals, Infrastructure Goals, Prevention and Mental Health Promotion Goals, and Budget Information. This screen is a long continuous screen.

The top of the form provides the instructions for you to follow shown here.

Each section is organized by Grant Year. For grants that have more than 5 grant years, you can use the navigational buttons (Previous Year, Current Year, and Next Year) just above the section to shift other grant years into view.

For **each** section you have the option to “Agree with all” “Disagree with all” or “Agree” or “Disagree” with certain goals or budget estimates. Within a section if you choose to agree or disagree with items individually, you will have to do so for each item in that section.

Each section also has an optional comments field ( with a 1250 character limit) for you to provide information or guidance to the grant. For example, you might ask them to submit the goals or budget information contained in a particular work plan, instead of what they have entered.

Now I will demonstrate how to agree or disagree with the goals and budget estimates.

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Center for Mental Health Services

## NOMs Client-level Measures Services Activities Goals

Services

	Previous Year	Current Year	Next Year		Cumulative
Grant Year	(9/30/2009 - 9/29/2010)	(9/30/2010 - 9/29/2011)	(9/30/2011 - 9/29/2012)	(9/30/2012 - 9/29/2013)	
Example Grantee (9/30/2009 - 9/29/2013)	52 <input type="radio"/> Agree <input type="radio"/> Disagree	200 <input type="radio"/> Agree <input type="radio"/> Disagree	200 <input type="radio"/> Agree <input type="radio"/> Disagree	200 <input type="radio"/> Agree <input type="radio"/> Disagree	662 <input type="radio"/> Agree <input type="radio"/> Disagree

The first set of goals for my sample grant are the Service Goals.

This section only applies to grants that provide data on services activities.

For every grant year, the grant enters the number of consumers that they plan to serve. They can enter a zero (0) if the grant will not serve any consumers in a given grant year. Any blanks should be interpreted as missing data, not as a zero (0).

If some consumers will be served in multiple years, Grants count them in each relevant year. For example:

A grant that plans to serve the same 10 consumers every year for 5 years would enter 10 for each of the 5 grant years.

A grant that plans to serve 10 different consumers every year for 5 years would also enter 10 for each of the 5 grant years.

The Grant also enters the cumulative unduplicated number of consumers to be served during the entire performance period of the grant. If they plan to serve the same consumers in different years, they are counted only once in the cumulative total. For example:

A grant that plans to serve the same 10 consumers every year for 5 years would enter 10 for its cumulative total.

A grant that plans to serve 10 different consumers every year for 5 years would enter 50 for its cumulative total.

If you disagree with any one grant year goal, the Cumulative goal will automatically be set to disagree as well - as the cumulative goal will need to be updated to reflect any changes in the grant year goals.

I am going to click that I agree with all my sample grantee's services goals now. If I click this button, but then realize I may not agree with a certain goal, I can always make that change which I will do now. And now I will type in the comments field explaining why I don't agree with one of my sample grantee's services goals.

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## Infrastructure Development Goals

Infrastructure Indicators	Previous Year	Current Year	Next Year
<b>Infrastructure &amp; Indicators</b>	(07/01/2008 - 07/01/2010)	(07/01/2010 - 07/01/2011)	(07/01/2011 - 07/01/2012)
<b>Goal Development</b>			
I01 - The number of public changes completed as a result of the grant.	<input type="text"/>	<input type="text"/>	<input type="text"/>
I02 - The number of organizational or individual employees trained in mental health-related training programs as a result of the grant.	<input type="text"/>	<input type="text"/>	<input type="text"/>
I03 - The number of public or mental health-related activities that are consistent with the goals of the grant.	<input type="text"/>	<input type="text"/>	<input type="text"/>
I04 - The number of public or mental health-related activities that are consistent with the goals of the grant.	<input type="text"/>	<input type="text"/>	<input type="text"/>
I05 - The number of public or mental health-related activities that are consistent with the goals of the grant.	<input type="text"/>	<input type="text"/>	<input type="text"/>
I06 - The number of public or mental health-related activities that are consistent with the goals of the grant.	<input type="text"/>	<input type="text"/>	<input type="text"/>
I07 - The number of public or mental health-related activities that are consistent with the goals of the grant.	<input type="text"/>	<input type="text"/>	<input type="text"/>
I08 - The number of public or mental health-related activities that are consistent with the goals of the grant.	<input type="text"/>	<input type="text"/>	<input type="text"/>
I09 - The number of public or mental health-related activities that are consistent with the goals of the grant.	<input type="text"/>	<input type="text"/>	<input type="text"/>
I10 - The number of public or mental health-related activities that are consistent with the goals of the grant.	<input type="text"/>	<input type="text"/>	<input type="text"/>
I11 - The number of public or mental health-related activities that are consistent with the goals of the grant.	<input type="text"/>	<input type="text"/>	<input type="text"/>
I12 - The number of public or mental health-related activities that are consistent with the goals of the grant.	<input type="text"/>	<input type="text"/>	<input type="text"/>
I13 - The number of public or mental health-related activities that are consistent with the goals of the grant.	<input type="text"/>	<input type="text"/>	<input type="text"/>
I14 - The number and percentage of public or mental health-related activities that are consistent with the goals of the grant.	<input type="text"/>	<input type="text"/>	<input type="text"/>

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The second set of goals for my sample grantee are Infrastructure Development goals that we see as I scroll down the screen.

This section only applies to grants that provide data on infrastructure activities. The TRAC System will display each grant year in the grant's performance period, and will list the infrastructure categories and indicators that are required. If you need additional information on indicator intent/key points, examples and definitions refer to the IPP Data Collection Guide on the TRAC website.

For each grant year, the grantee enters a goal for each required infrastructure indicator. A zero (0) can be entered if the grant will not conduct one of the activities given grant year. Any blanks should be interpreted as missing data, not as a zero (0).

I am going to click that I agree with all my sample grantee's Infrastructure Development goals now.

The screenshot displays the TRAC system interface for 'Prevention & Mental Health Promotion Goals'. At the top, the TRAC logo and 'Transformation Accountability Center for Mental Health Services' are visible. The main heading is 'Prevention & Mental Health Promotion Goals'. Below this is a table titled 'Prevention and Mental Health Promotion Indicators'.

Categories & Indicators	Previous Year		Current Year		Next Year	
	(9/30/2009 - 9/29/2010)	(9/30/2010 - 9/29/2011)	(9/30/2011 - 9/29/2012)	(9/30/2012 - 9/29/2013)	(9/30/2013 - 9/29/2014)	(9/30/2014 - 9/29/2015)
<b>Awareness</b>						
AW1 - The number of individuals exposed to mental health awareness messages.	<input type="text" value="000"/>					
	<input type="radio"/> Agree					
	<input type="radio"/> Disagree					
<b>Screening</b>						
S1 - The number of individuals screened for mental health or related interventions.	<input type="text" value="00"/>	<input type="text" value="000"/>				
	<input type="radio"/> Agree					
	<input type="radio"/> Disagree					
<b>Outreach</b>						
O1 - The number of individuals contacted through program outreach efforts.	<input type="text" value="0000"/>					
	<input type="radio"/> Agree					
	<input type="radio"/> Disagree					
O2 - The total number of contacts made through program outreach efforts.	<input type="text" value="000"/>					
	<input type="radio"/> Agree					
	<input type="radio"/> Disagree					
<b>Referral</b>						
R1 - The number of individuals referred to mental health or related services.	<input type="text" value="000"/>					
	<input type="radio"/> Agree					
	<input type="radio"/> Disagree					
<b>Access</b>						
AC1 - The number and percentage of individuals receiving mental health or related services after referral.	<input type="text" value="00"/> %					
	<input type="radio"/> Agree					
	<input type="radio"/> Disagree					

At the bottom of the table, there are two buttons: 'I Agree with All Prevention and Mental Health Promotion Goals' and 'I Disagree with All Prevention and Mental Health Promotion Goals'. Below these buttons is a large text input field for comments.

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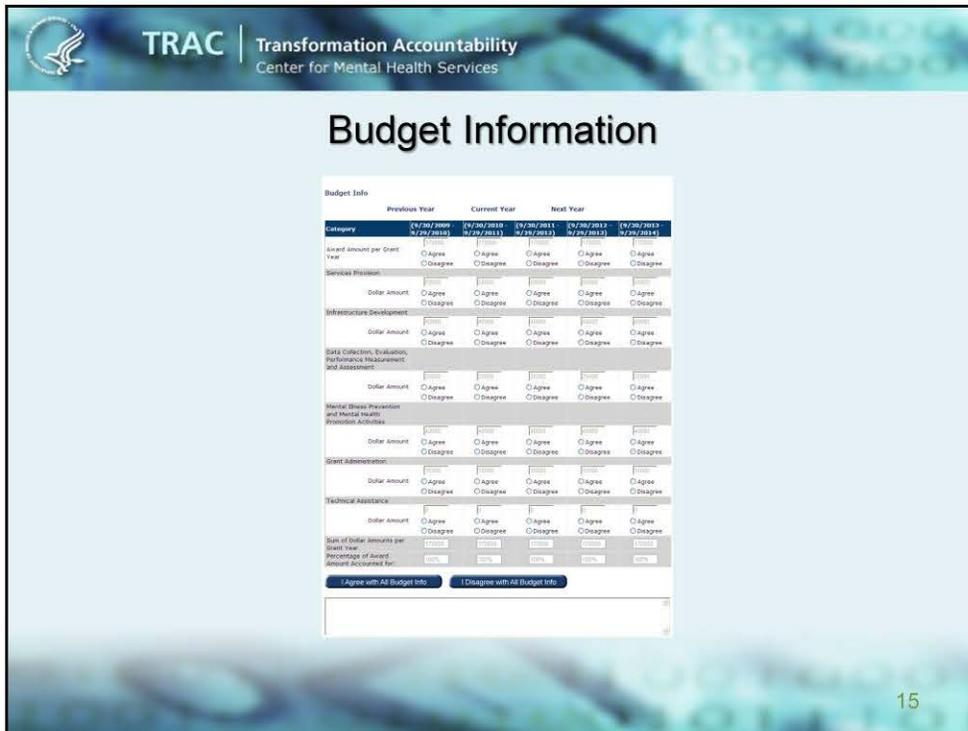
The third set of goals for my sample grantee are Prevention & Mental Health Promotion goals that we see as I scroll down the screen.

This section only applies to grants that provide data on mental illness prevention and mental health promotion activities. The TRAC System will display each grant year in the grant's performance period, and will list the mental illness prevention and mental health promotion categories and indicators that are required. If you need additional information on indicator intent/key points, examples and definitions refer to the IPP Data Collection Guide on the TRAC website.

For each grant year, the grantee enters a goal for each required prevention and mental health promotion indicator. A zero (0) can be entered if the grant will not conduct one of the activities in a given grant year. Any blanks should be interpreted as missing data, not as a zero (0).

I am going to click on what I agree and what I disagree with for my sample grantee's Prevention & Mental Health Promotion goals now.

And now I will type in the comments field explaining why I don't agree with one of my sample grantee's goals.



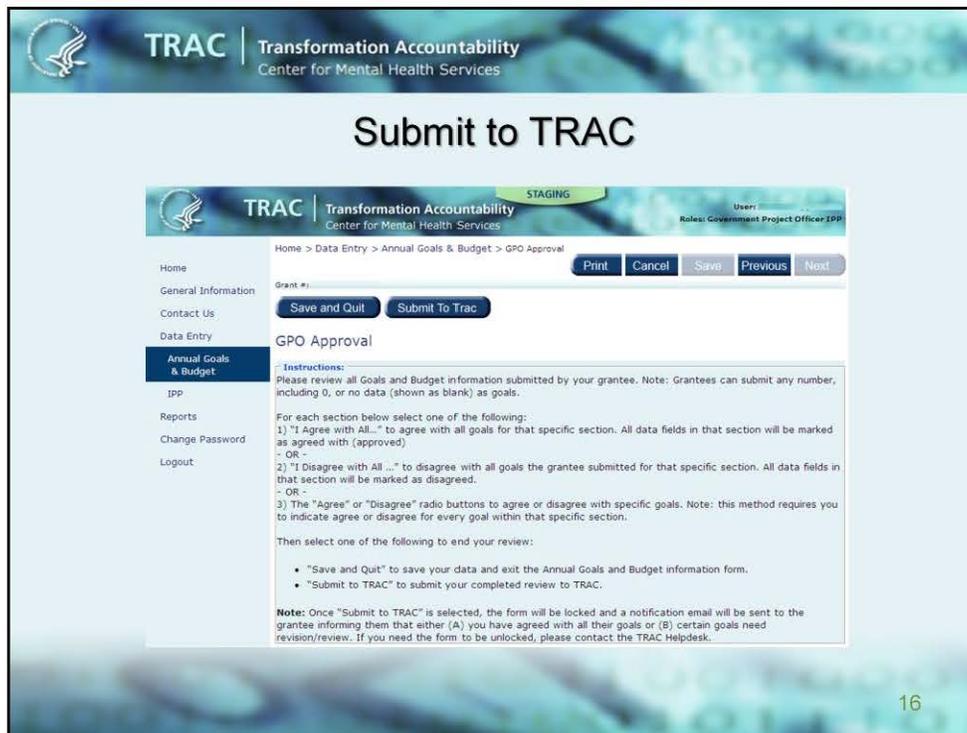
I'm going to continue scrolling, and we finally see the Budget Information for this sample grant.

The grants are asked to specify the budget goals for each grant year in which the grant is active.

The grants have a choice between submitting their budget information in dollar amounts or as a percentage of the annual grant award amount. You will see the budget information the way the grantee entered it – either as dollars (which is how my sample grant entered their data), or as percent. You can not to change from one to the other.

If you disagree with any one grant year budget goal, the Award Amount per grant year goal will automatically be set to disagree as well - as the award amount will need to be updated to reflect any changes in the grant year budget goals.

I am going to click that I agree with all my sample grantee's Budget Information goals now.



Once you have made your agree or disagree selections, scroll back to the top of the GPO Approval screen

You have the option to “Save and Quit” or “Submit to TRAC”.

Clicking on “Save and Quit” will save your data into the TRAC system and take you back to the main data entry screen. Use this if you have to stop midway through a review OR if you decide during your review that you wish to discuss with the grantee the information that has been entered before you finalize and submit your review.

Clicking on “Submit to TRAC” will save your data and submit to the TRAC system and take you back to the main data entry screen.

Once you click on Submit to TRAC you will get a pop-up message asking you to confirm that you want to submit the data as final. Click on OK to Submit to TRAC, or click cancel to return to the summary screen without submitting.

If all items were set as “Agree” the grant project director will be notified by automated email that their annual goals and budget information was approved. The grant’s Annual Goals Status will be updated on the Find Grant screen as “Approved”. If you “Disagreed” with any of the items, the grantee will be sent an automated email and be able to edit and then resubmit again for approval of those annual goals and budget information items if requested. In this case, before the grantee edits the information, the grant’s Annual Goals Status on the Find Grant screen will appear as Update and Resubmit.

**IMPORTANT!! \*\* Once the grantee edits the information that you disagreed with and resubmits it, the Annual Goal Status will be updated to again appear as “Ready for Approval” on the Find Grant Screen. You will need to go back into TRAC to view any resubmitted goals and budget information.**



## Accessing Help

- Visit the TRAC website for more information at <https://www.cmhs-gpra.samhsa.gov/index/htm>
- Contact the TRAC Help Desk with questions
  - ✓ Phone: 1-855-796-5777
  - ✓ Email: [TRACHELP@westat.com](mailto:TRACHELP@westat.com)

The Guide for the Review Process and this presentation are available on the TRAC website.

If you have any other questions please contact the TRAC help desk.