



Welcome to TRAC training. This is the TRAC Annual Goals and Budget Information Training Presentation for Grantees.

For more information on the Annual Goals and Budget module, see the Annual Goals and Budget Guide for Grantees on the TRAC website under the General Info and Training tab.



## What are the TRAC Annual Goals?

- Required for all grantees
- Specific to TRAC activities
  - Number of consumers served
  - Infrastructure indicators
  - Prevention and promotion indicators
- Use pre-approved goals, if applicable

2

### What are the TRAC Annual Goals?

You have described to CMHS what you plan to work on in your grant application and/or work plans. The purpose of the TRAC Annual Goals are to summarize those narratives with quantitative data and set goals for performance management. If you have pre-approved goals for your grant, you should enter the pre-approved goals as applicable in TRAC.

The goals are specific to the modules you report on in TRAC. If you are a services program administering the consumer NOMs tool, you will set a goal for the number of consumers to be served for each year of the grant and a unduplicated, cumulative goal of consumers to be served.

If you report on any of indicators in the infrastructure development, prevention and mental health promotion module (IPP) in TRAC, you will set goals for each of your required indicators for each year of the grant.

Your annual goals appear in various TRAC reports and are used by your government project officer (GPO) and CMHS for performance management and oversight.



## Setting Your TRAC Annual Goals

- Review existing plans:
  - ✓ Requirements for grant program
  - ✓ Grant Application
  - ✓ Notice of Grant Award
  - ✓ Work plans
- Identify the goals you need to set in TRAC
  - ✓ My profile page
  - ✓ Annual goals and budget module

3

Now you are asking yourself, how do I set these goals?

The first step is to review your existing plans.

You need to base your goals on all existing plans for your grant, including the requirements for your grant program, the activities you proposed in your application, and the requirements in your Notice of Grant Award. What were you planning to do?

Next, you need to identify the goals you are required to set. This is based on the TRAC data you submit.

If you are unsure, a quick way to find this out is to log into the TRAC system, you can go to the My Profile page for your grant or you can go to the Annual Goals and Budget section and scroll through the screens to see what is required for your grant. The Annual goals screens only list those items that are required for your grant. You can print the screens for reference if desired.



## Setting Your TRAC Annual Goals (continued)

- Grant/program lifecycle
- Proposed activities
- Set a numeric or percentage goal for each item
  - ✓ Realistic
  - ✓ Tied to work plans
  - ✓ Aligned with your budget

4

Finally, you will set a numeric goal for each required item. For most items this is a number, there are a few IPP indicators that the goal is a percentage. Your goals should be realistic, tied to your work plans and aligned with your budget.

Think about the life cycle of your project and the activities you are planning to do with your grant funds.

For services grantees, when will you start serving consumers? How does that start date impact the goal you set for the first year of your grant.

For the activities that map to the IPP indicators, are there some activities that are more likely to occur in the first year of the grant, but less likely in the last year of the grant?

You may want to have a discussion with your GPO about your goals before you enter them into the TRAC system.

Also you can refer to the Annual Goals and Budget Information Guide for Grantees for more information on setting goals.



## Budget Estimates

- Big picture
- Each year of your grant
- Approximate percentages or dollar amounts
- Your award amount per grant year may include activities not being reported on for TRAC

5

When estimating your grant award by the budget categories, CMHS is looking for the big picture, not specific details.

Consider what *approximate* percentage or dollar amount of the grant is expected to be expended in each of the categories. You can enter percentage *or* dollar amount; you do *not* need to enter both.

You should include estimates for all activities that account for a considerable portion of your budget, even those *not* being reported on for TRAC. This will allow your GPO and other CMHS staff to have a more accurate picture of how you anticipate your grant funds will be spent.

You will be asked to make estimates now for future grant years. You will have the opportunity to review these estimates each year and revise them if necessary.

Your GPO will review again each year after you make edits.

Let's look at the budget categories.



**TRAC** | Transformation Accountability  
Center for Mental Health Services

## TRAC Budget Categories

- Service Provision
- Infrastructure Development
- Data Collection, Evaluation, and Performance Measurement and Assessment
- Mental Illness Prevention and Mental Health Promotion
- Grant Administration
- Technical Assistance

6  
6

You will estimate how your annual grant award amount fits into the budget categories.

You can enter budget information for any of the activities listed on this slide, even if your grant is not required to report TRAC data for an activity.

For example, if your grant spends a substantial amount on screening activities, but does not report on the screening indicator for IPP, you should still report the percentage or dollar amount spent on screening in the category for mental health Prevention and Mental Health Promotion Activities. Any activities that you do with your grant funds that are consistent with the definitions in the IPP or Services guides can be counted in your budget estimates.

Some grant programs include limitations on the minimum and/or maximum percentage that can be spent on various activities. Be sure to refer to your RFA and your Notice of Grant Award for more guidance about such limits for your grant.

The next few slides will review these budget categories in a little more detail.



## Service Provision

- Providing treatment to consumers
  - ✓ Report Services NOMS tool into TRAC
  - ✓ Use grant funds to provide treatment to consumers

*If your grant does not participate in this activity then enter a zero (0) on the form.*

### **Service Provision:**

This section is for the activities that you undertake to provide treatment to consumers. If you treat consumers whether or not you report that information into the TRAC system, you would report that budget amount here.



**TRAC** | Transformation Accountability  
Center for Mental Health Services

## Infrastructure Development

- Consistent with the infrastructure indicators
- Types of infrastructure activities include:
  - ✓ Policy development
  - ✓ Developing training programs
  - ✓ Staff attending training programs
  - ✓ Collaboration with other departments or agencies
- Building a foundation for sustainability

*If your grant does not participate in any of these types of activities then enter a zero (0) on the form.*

8

### **Infrastructure Development:**

Infrastructure development activities are the activities you engage in order to accomplish infrastructure goals consistent with TRAC IPP indicators. Activities which are consistent with ANY of TRAC's infrastructure indicators count as infrastructure activities whether or not you report IPP activities to TRAC.

### **Some examples of what could be included are:**

Policy development;

Development of training programs;

Staff attending training programs;

Engaging in partnerships/collaborations with other departments/agencies;  
and

Building a solid foundation for delivering and sustaining effective mental health and substance abuse prevention and treatment services.



## Data Collection, Evaluation, and Performance Measurement and Assessment

- Consistent with your grant application and/or work plan
  
- Examples include:
  - ✓ TRAC
  - ✓ Cross-site evaluations
  - ✓ Local evaluations

9

### **Data Collection, Evaluation, and Performance Measurement and Assessment:**

Grant announcements typically include sections on the Government Performance and Results Modernization Act of 2010 (GPRAMA), for evaluation, data collection, and performance assessment requirements, and define the percentage of grant funds which can be expended on these activities.

### **Some examples of what could be included are:**

TRAC;

Cross-Site evaluations; and

Local evaluations.



## Mental Illness Prevention and Mental Health Promotion

- Consistent with the prevention and promotion indicators
- Types of prevention and promotion activities
  - ✓ Awareness campaigns, social media and networking activities
  - ✓ Trainings for the non mental health-related workforce
  - ✓ Education seminars
  - ✓ Screening, outreach, and referral

*If your grant does not participate in any of these types of activities then enter a zero (0) on the form.*

**Mental Illness Prevention and Mental Health Promotion Activities:** Include activities you engage in to accomplish prevention/promotion goals consistent with the TRAC IPP indicators. Activities that are consistent with any of the TRAC prevention and mental health promotion indicators counts as prevention and mental health promotion activities whether or not you report IPP activities to TRAC.

### **Some examples of what could be included are:**

Awareness campaigns, social media and networking activities;

Trainings;

Education seminars; and

Screening, outreach, and referral.



## Grant Administration

- Quarterly, annual and fiscal reports
- Annual grantee meetings
- Continuation applications
- Budget and timeline preparation and management
- Calls with your SAMHSA GPO
- Grants management webinars

11

**Grant Administration:** Refers to general activities required for the overall management and administration of the grant.

**Some examples of what could be included are:**

Resources to prepare quarterly, annual, and fiscal reports;

Attending and/or presenting at annual grantee meetings;

Preparing continuation applications, major budget/program modification requests, reconciling grant budgets, review and managing timelines;

Preparing optional SAMHSA post-award grant requests (i.e. carryover of funds, no cost extensions);

Responding to grant award terms and conditions;

Coordinating with Business/Finance Office on grants payment, fiscal reporting, and closeout;

Participating in program monitoring conference calls with SAMHSA GPO; and

Participating in SAMHSA Grants Management webinars.



## Technical Assistance

- Grants or contracts that provide technical assistance to other entities
- Not for the costs associated with the receipt of technical assistance
- Most grants will put zero (0) in this category

12

### Technical Assistance:

**This is only applicable to grants (or contracts) that provide technical assistance to other entities.**

Do not include costs associated with the receipt of technical assistance. Although in some cases grants 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).



## System Demonstration

- TRAC URL:
  - ✓ <https://www.cmhs-gpra.samhsa.gov/>

Now that you know more about the annual goals and budget module, let's go into the TRAC system to show you the specifics screens and how they work.



Most users have access to one grant. Those users will skip this Find Grant screen. If you have access to more than one grant, you will have to use the find grant screen to select a grant where you can enter your data.

The basic mechanics of this screen are:

The TRAC system displays programs in the drop-down box, based on what the user has access to in the system.

Move the desired program to the selected box and click the Find button to display the list grants for that program below the find grant table. (list of grants not shown on this screen)

You may also search grants by:

- Grant ID

- Organization Name

- City

- State

The example grant does both services and IPP activities in TRAC.

**TRAC** | Transformation Accountability  
Center for Mental Health Services

## NOMs Client-level Measures “Services Activities” Goals

- Enter # of estimated consumers to be served
- Enter cumulative unduplicated # of consumers to be served

Home > Data Entry > Annual Goals & Budget > Services

Print Cancel Save Previous Next

Grant #:

**Services**

**Instructions:**  
For your current grant year and all future grant years, please enter the goal for the number of consumers to be served, then the unduplicated cumulative goal of consumers to be served during the grant performance period. Once complete, please select "Save" to save the data; select "Next" to go to the next screen.

**Cumulative Goal:** This is the unduplicated goal of all consumers for the total grant period. This is different than adding up all the annual goals of each grant year, since that figure may contain duplicated consumers.

Grant Year	Previous Year		Current Year		Next Year	Cumulative
	(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)	
Training Grant (10/1/2010 - 9/29/2015)	100	380	500	600	520	2100

System Demonstration 15

The system brings you to the first screen applicable for your grant.

The TRAC System will display each grant year in the grant’s performance period.

For every grant year, please enter the number of consumers that you plan to serve.

Your services goal must be an integer between 0 and 1,000,000. No need to enter any commas.

Enter a zero (0) if you think your grant will not serve any consumers in a given grant year.

If you anticipate that some consumers will be served in multiple years, you should 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 all 5 grant years.
- A grant that plans to serve 10 different consumers every year for 5 years would enter 10 for all 5 grant years.

In addition to entering the number of consumers to be serve goal each year, you will need to enter a cumulative, unduplicated number of consumers to be served during the entire performance period of your grant.

This means that if you plan to serve the same consumers in different years, you would count them only once in your 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.

The screen shows fives years at a time. If your grant has more than 5 years, click on the hyperlinks above the form labeled Previous Year, Current Year, and Next Year to navigate forward and backward to see all the years and fully complete the form.

***After you have entered your services goals, click the Save button at the top of the screen. If you do not click the Save button, your goals will not be saved in the system. Click on the Next button to move to the next applicable screen.***

**TRAC | Transformation Accountability**  
Center for Mental Health Services

## IPP Goals

- Infrastructure Development activities
- Prevention & Mental Health Promotion activities

**TRAC | Transformation Accountability** STAGING  
Center for Mental Health Services

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

Infrastructure Indicators

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 0/30/2011)	(10/1/2011 0/30/2012)	(10/1/2012 0/30/2013)	(10/1/2013 0/30/2014)	(10/1/2014 0/20/2015)	(10/1/2015 0/20/2016)
Workforce Development WDE - The number of organizations or communities implementing mental health-related training programs as a result of the grant.	76	50	12	8	4	
Organizational Change OC3 - The number of organizational changes made to support improvement of mental health-related practices/activities that are consistent with the goals of the grant.	6	5	6	5	3	
Partnership/Collaboration PC1 - The number of organizations that entered into formal written inter- or 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	
Types/Targets of Practices TZ - 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	

System Demonstration 16

The form accepts numbers only.

Goals must be an must be an integer. No need to enter any commas.

Goals that require a Percent must be an integer b/w 0 and 100.

The TRAC system will display the Infrastructure Categories and Indicators and the Prevention and Mental Health Promotion Categories and Indicators that apply to your grant. There is a screen for Infrastructure and then a screen for Prevention and promotion.

You will enter goals for each grant year of your performance period for each indicator (either as an integer, or a percentage depending on the indicator).

***After you have entered your infrastructure goals, click the Save button at the top of the screen. If you do not click the Save button, your goals will not be saved in the system. Click the Next button at the top of the screen to move to the next applicable screen.***

If you need to finish entering goal information at a later date, when you hit the save button, it will save everything you have currently entered, and you may log back into the TRAC system to view and edit your goals. However, you should enter a 0 if you think your grant will not conduct one of the activities in a given grant year; after you submit your data as final for approval, data fields that are left blank will be interpreted as missing data regardless of whether it is intentionally left blank or not.

If your grant has required Prevention & Mental Health Promotion indicators you will be taken to that next data entry screen. It looks and works like the infrastructure screen.

The screenshot displays the TRAC (Transformation Accountability Center for Mental Health Services) interface. At the top, the TRAC logo and name are visible. The main heading is "Budget Screen #1" with the subtitle "Dollar amount vs. percent of annual grant award amount". The interface includes a navigation menu on the left with options like Home, General Info & Training, My Account, Contact Us, Data Entry, Annual Goals & Budget (highlighted), Services, EPP, Reports, Data Download, Change Password, and Logout. The main content area shows the "Budget Screen #1" form with a "STAGING" label, a "GAME #:" field containing "TEST234", and a "Print Cancel Save Previous Next" button bar. Below this, it displays "OMB Number: 0930-0285; Expiration Date: 03/31/2019" and "Instructions: Enter your budget information by first selecting how you will enter the data: select 'Dollar Amount' or 'Percent of Annual Grant Award Amount'. Select 'Save' and then 'Next' to enter your budget information." A prominent warning box states: "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 information (saved or unsaved) will be cleared. You will be asked to confirm this choice before your budget information is cleared." At the bottom of the form, there is a question: "Do you want to enter the budget information using Dollar Amount or Percent of Annual Grant Award Amount?" with two radio button options: "Dollar Amount" (selected) and "Percent of Annual Grant Award Amount". The bottom of the slide features the text "System Demonstration" and the number "17".

After viewing or entering data in the annual goals screen(s) you are brought to the budget screens.

On Budget Screen #1 you will indicate how you will enter your budget estimates.

You can select either “Dollar Amount” or “Percent of Annual Grant Award Amount”.

**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 information data (saved or unsaved) will be cleared. You will be asked to confirm this choice before your budget information data is cleared. If you have already entered budget information into the TRAC system back in September, it was entered in dollar amounts. If you decide you would like to switch to percentages, your dollar amount data will be erased.

Focusing on one grant year at a time and estimate the dollars per grant year that you plan to spend on each type of activity during each year.

As a reminder, you may enter budget information in any category listed here even if your grant does not report this type data into TRAC. As I mentioned previously, if your grant does not participate in one of these activities, you must enter a zero (0).

As the instruction on the screen indicates, you will complete the following steps:

- Enter the grant’s award amount for each year in the “Award Amount per Grant Year” row **first**.
- Enter the dollar amount for each category in the “Dollar Amount” rows. Enter whole dollar amounts using numbers only.

Note that dollar amounts should include all direct costs plus indirect costs associated with an activity. Indirect costs are included if your organization has a negotiated indirect cost rate agreement as allowed in the agreement. It is okay to estimate the indirect costs.

***After you have entered your budget information, click the Save button at the top of the screen. If you do not click the Save button, your budget information will not be saved in the system.***

After you have hit the save button, the system will sum all of your dollar amounts in the “Sum of Dollar Amounts per Grant Year” row and calculate the “Percentage of Award Amount accounted for” row.

If the sum of all the “Award Amount per Grant Year” fields is less than the Total Grant Award on record, the TRAC system will display an alert message. To continue with your data entry click on the Next button again; you can proceed even if your numbers are less than the Total Grant Award. This is so you can go back and enter more budget information when you have it.

If one or more of your “Sum of Dollar Amounts per Grant Year” fields exceed the corresponding “Award per Grant Year” total you will receive an error message. Additionally, if the sum of all “Award Amount per Grant Year” exceeds the Total Grant Award the system will give you an error message. You will need to correct the error(s) before you can move to the next screen.

Are there any questions on this screen before I go back and demo the percent of Annual Grant Award option?



## Budget Estimate Form Percent of Annual Grant Award

Grant #: 181334

### Budget Info

(OMB Number: 0930-0285, Expiration Date: 03/31/2019)  
Total Grant Award: 2500000

#### Instructions

You selected "Percent of Annual Grant Award Amount" as the method for entering your budget data. Enter the budget for your current grant year, and all future grant years. Complete the following steps:  
1) Enter the grant's award amount in whole dollars using numbers only (omit no commas, decimal point, or \$ sign) for each year in the "Award Amount per Grant Year" row.  
2) Enter the percentage using numbers only - up to two decimal points (no % sign) - for each category in the "Percent" 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 (the sum of all the "Award Amount per Grant Year" amounts entered) 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.

Category	Previous Year		Current Year		Next Year	
	(10/1/2015 - 9/30/2016)	(10/1/2016 - 9/30/2017)	(10/1/2017 - 9/30/2018)	(10/1/2018 - 9/30/2019)	(10/1/2019 - 9/30/2020)	(10/1/2019 - 9/30/2020)
Award Amount per Grant Year	000000	000000	000000	000000	000000	000000
Services Provision	Percent					
Infrastructure Development	Percent					
Data Collection, Evaluation, Performance Measurement and Assessment	Percent					
Mental Illness Prevention and Mental Health Promotion Activities	Percent					
Grant Administration	Percent					
Technical Assistance	Percent					
Sum of Percentages per Grant Year	0%	0%	0%	0%	0%	0%
Sum of Dollar Amounts per Grant Year	0	0	0	0	0	0

19

Here is a screen shot for the budget form as Percent of Annual Grant Award. The mechanics of the form are the same except you are entering percentage of annual grant award instead for dollars.



Once you have entered and saved all your annual goals and budget estimates, the system will take you to a screen that will show you what you entered on each screen in the module.

Please review the data for accuracy. If you are ready to submit the form for approval, then click the submit for approval button located at the top of the screen.

This will alert the TRAC system that your data is complete, and ready for your to GPO review.

If you are not ready to submit your data, you may click on the save and quit button and this will take you back to the main Data Entry screen.

If your GPO has questions about your goals or budget estimates, they will note that in the system and TRAC will email he grant a notification that the data needs to be reviewed and edited. You will have an opportunity to review the GPO comments and make any required edits and submit the form again. More information on this process can be found in the Annual Goals and Budget Information Guide for Grantees which is in the General Info & Training section on the TRAC website.



**TRAC** | Transformation Accountability  
Center for Mental Health Services

## TRAC Website & Help Desk

- Visit the TRAC website to view training materials:
  - ✓ <https://www.cmhs-gpra.samhsa.gov/index.htm> > General Info & Training > Annual Goals and Budget Training
- Contact TRAC Help Desk
  - ✓ Phone: 1-855-796-5777
  - ✓ Email: [TRACHELP@westat.com](mailto:TRACHELP@westat.com)

21

The Annual Goals and Budget Information Guide for Grantees can be found on the TRAC website under General Info & Training, Annual Goals and Budget Training.

Please contact the TRAC Help Desk if you have questions.