Transformation Accountability (TRAC)

Center for Mental Health Services

Annual Goals and Budget Information Review Process

GUIDE FOR CMHS STAFF

CMHS

Center for Mental Health Services
SAMHSA

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GENERAL OVERVIEW

The Annual Goals and Budget Information screen allows the Project Director (or the Project Director's designee) for each grant that reports data to TRAC to enter annual performance goals and budget information directly into the TRAC system.

Grant Project Directors were provided instruction regarding how to set their goals and estimate their budget information in the Annual Goals and Budget Information Guide for Grantees; this guide can be found at https://www.cmhs-gpra.samhsa.gov/index.htm under General Information > Annual Goals & Budget.

As the Government Project Officer (GPO), you will review the goals and budget information for each grant in your portfolio and approve them based on the consistency of the information with SAMHSA's goals for the grant program, the original grant application or contract work plan, and any other guidance (including approved modifications) you have provided to the grant.

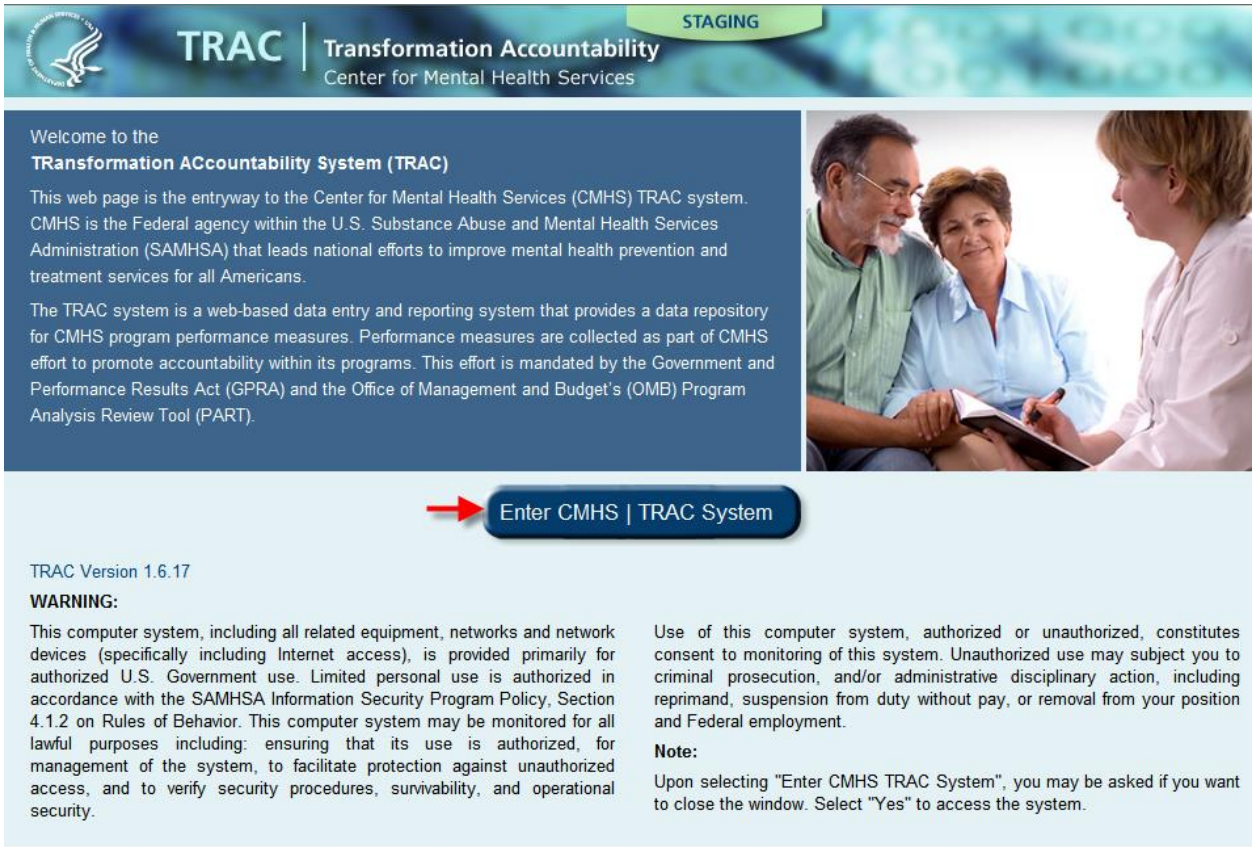
This guide provides instructions on how to access the online Annual Goals and Budget Information GPO Approval screen, how to agree or disagree with the information provided by each grant, and how to submit the data into the TRAC system.

The grants are required to set annual performance goals and provide budget information for all of their grant years. ***NOTE for grants awarded prior to July 2010:*** Grantees set annual performance goals and provide budget information for the grant years that include or fall after July 2010; they are not required to fill out any information for past years.

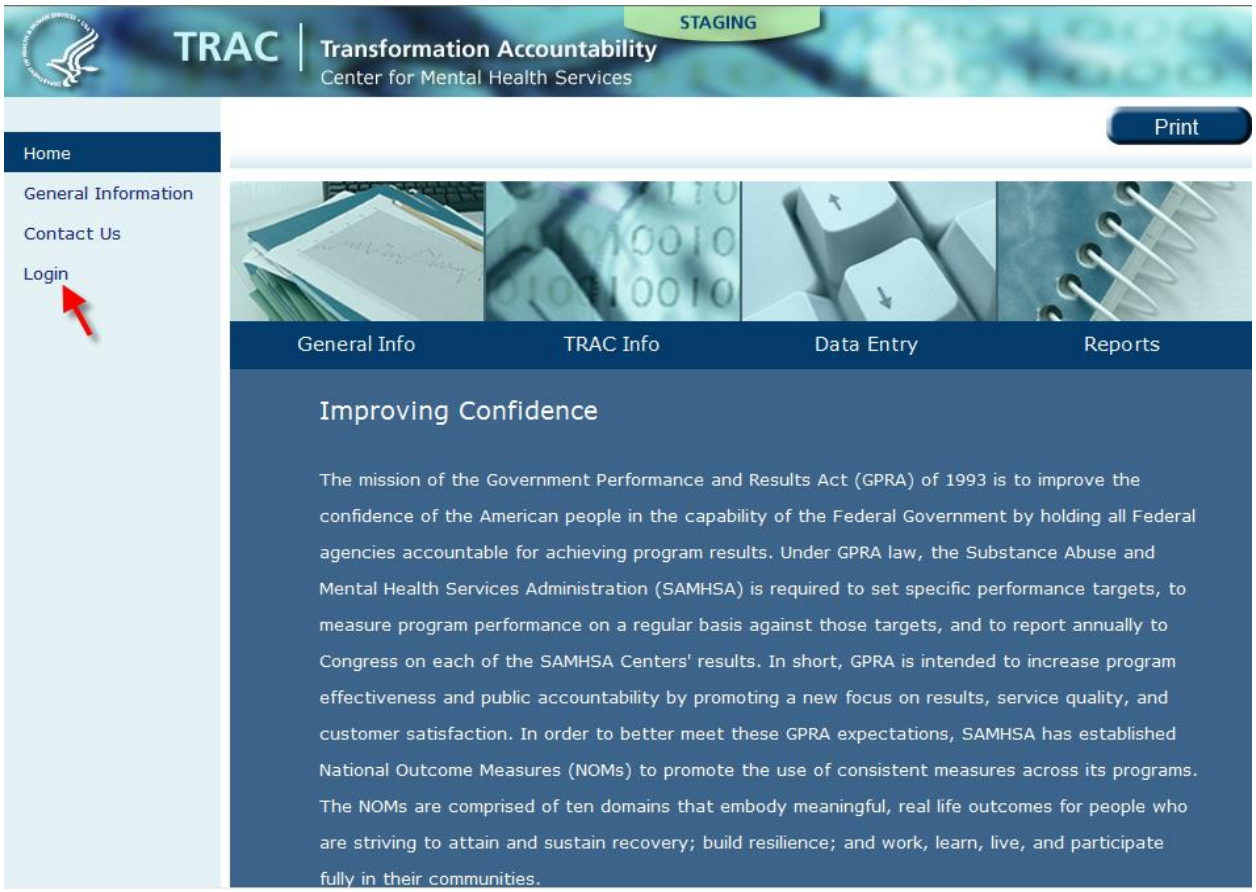
ACCESSING THE TRAC SYSTEM

The web address for the TRAC system is https://www.cmhs-gpra.samhsa.gov. To access the site, you must use Internet Explorer 8.0 or 9.0. Some parts of the system will not work in other browsers such as Firefox. You may want to create a bookmark to the system. The Annual Goals and Budget Information form is part of the TRAC data entry system.

To access the TRAC system data entry main menu, click the "Enter CMHS | TRAC System" button.



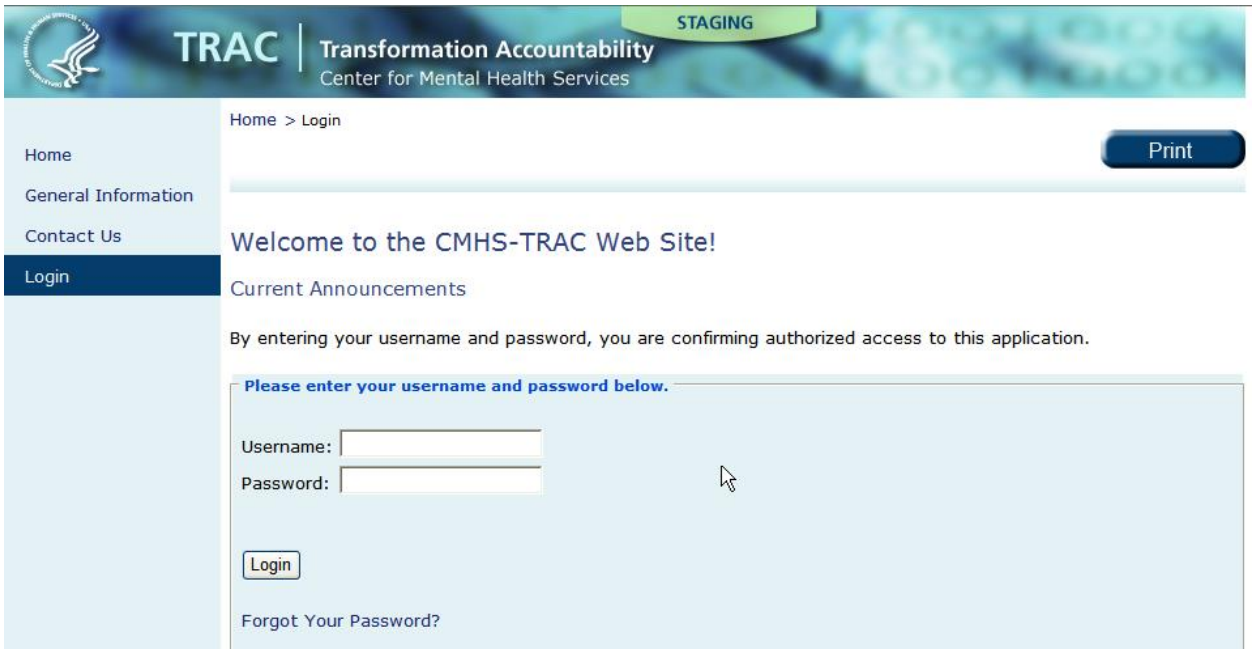
The TRAC Home Page will appear after you click the Enter CMHS | TRAC button. It is composed of the following sections: General Information, Contact Us, and Login.



Please click the "Login" button on the left-hand menu to enter your username and password. You need to be logged into the TRAC system in order to download and view a variety of TRAC documents and reports, and to access the Annual Goals and Budget Information GPO Approval screen.

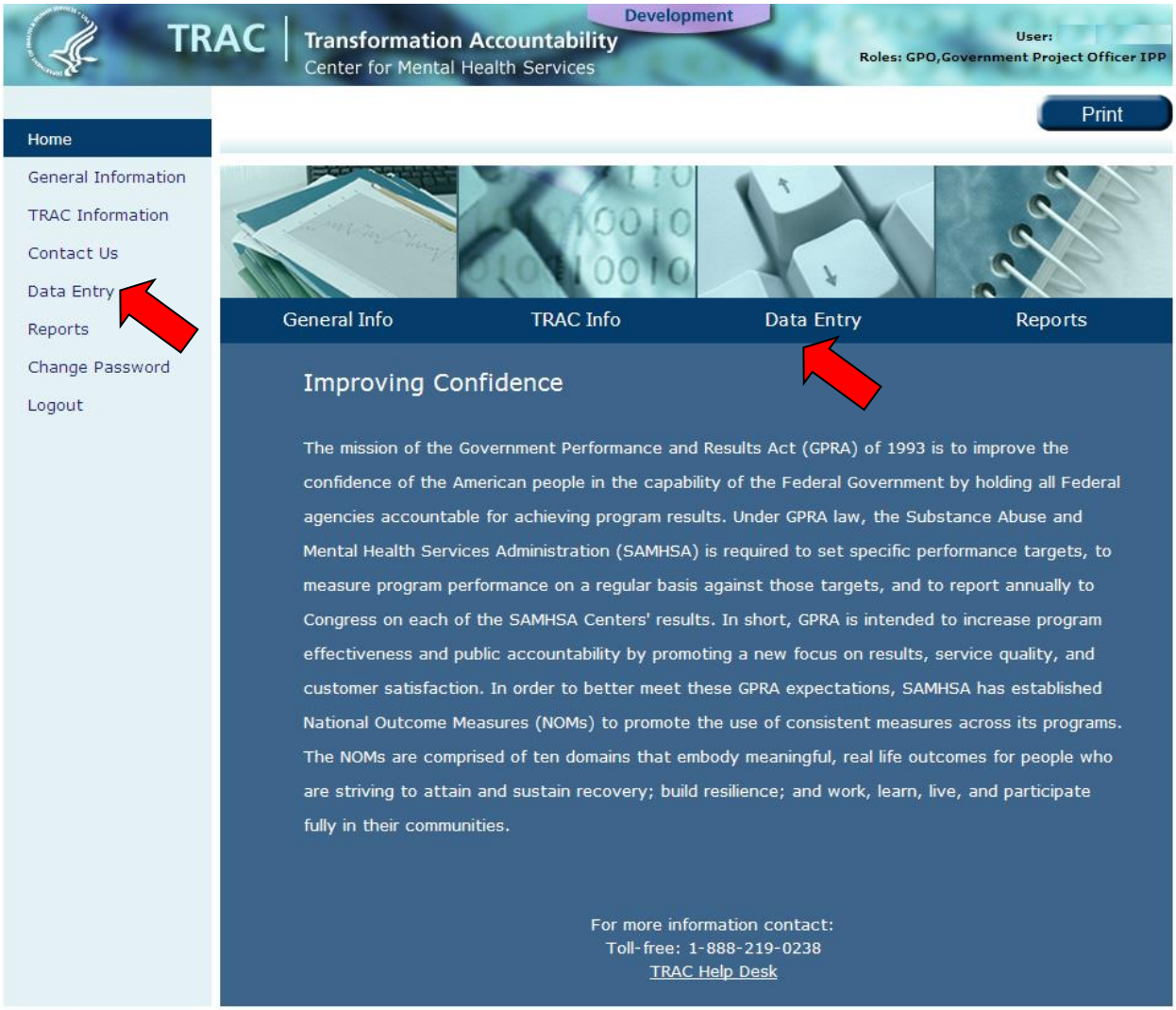
LOGGING IN

Please enter your username and password then click "Login".



If you do not remember your password, the "Forgot Your Password?" hyperlink allows you to receive your password via email. The password you receive by e-mail is temporary and you will be instructed to change the password. Note: You must know your username in order to use this feature. If this information is unknown or if you have any username or password issues, contact the TRAC Help Desk for assistance.

The menu on the left side of the screen allows for easy navigation through the TRAC system.



Click on the "Data Entry" button on the left-hand menu or in the middle of the screen to navigate to the main Data Entry screen.

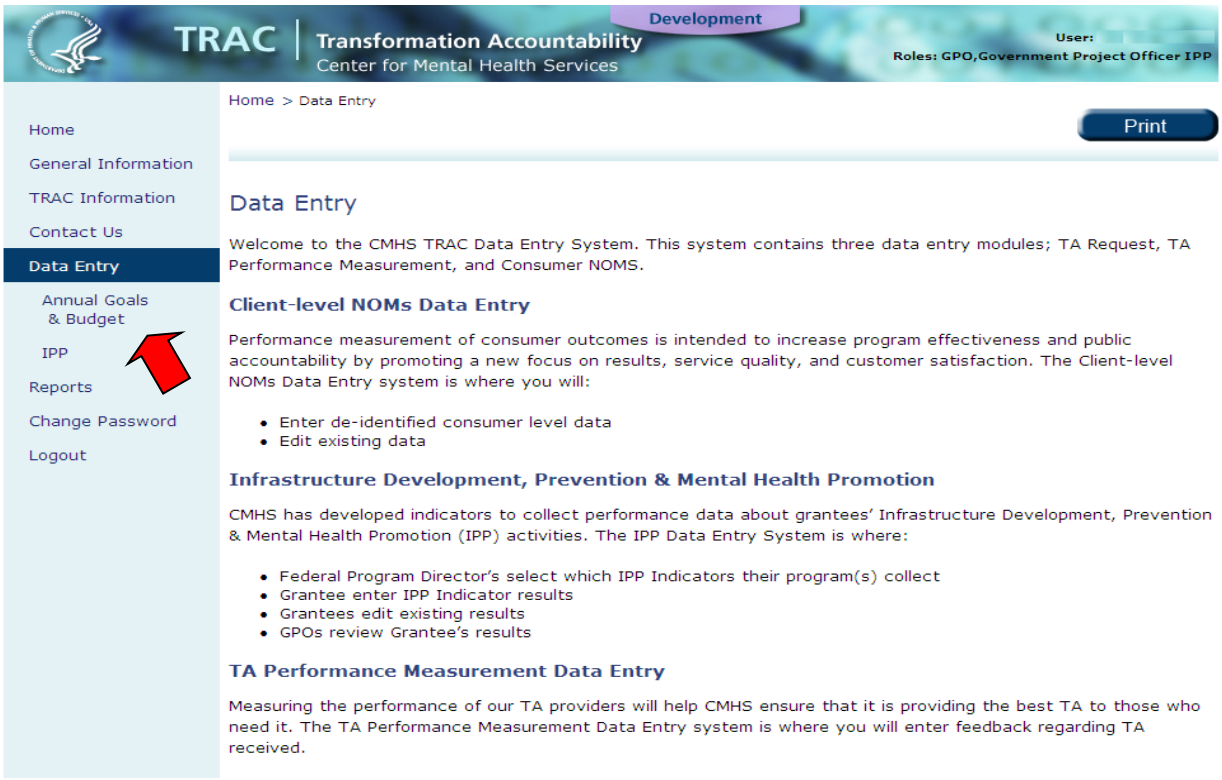
REVIEWING GRANTEE ANNUAL GOALS AND BUDGET INFORMATION

Each grant will enter their annual performance goals and budget information into the TRAC system. They will only specify goals for the activities their grant conducts. For example, if the grant is working on infrastructure development but does not engage in prevention and mental health promotion activities or provide direct client services, they will only be required to submit annual goals for the infrastructure indicators.

Grantees are asked to specify goals for each grant year in which the grant is active.

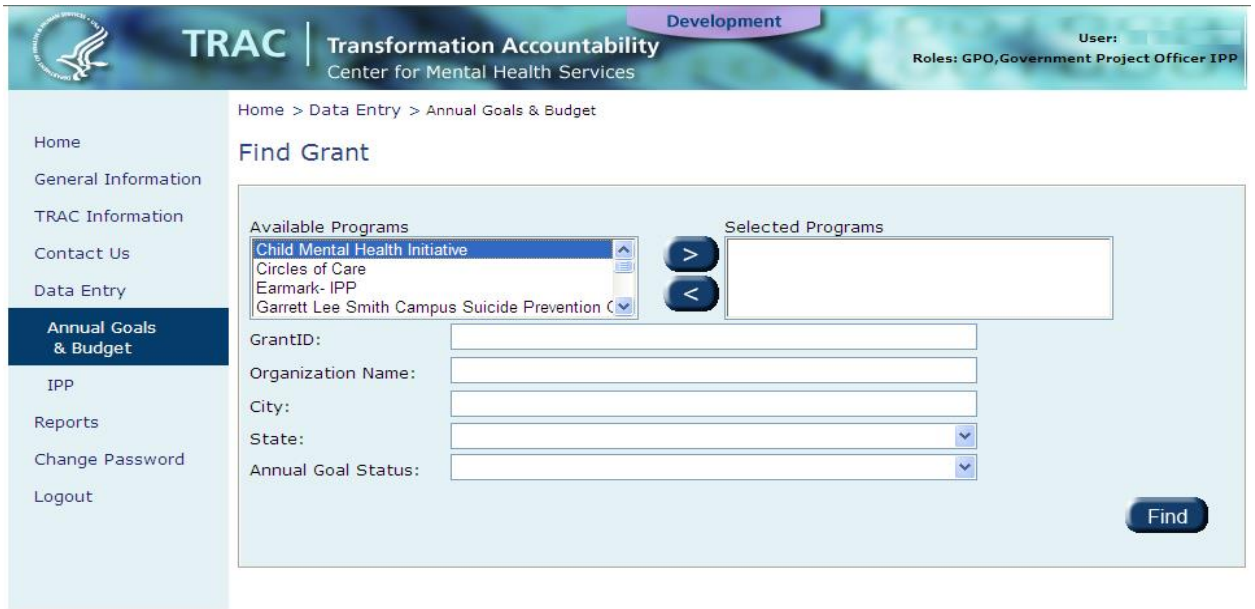
Step 1: Navigate to the Annual Goals and Budget Review Screen

Once you have logged into the TRAC system and after choosing the "Data Entry" option from the left menu or from the middle of the screen, please select the "Annual Goals & Budget" option from the left menu. It will take you to the Find Grant screen.



Step 2: Select a Program and Grant

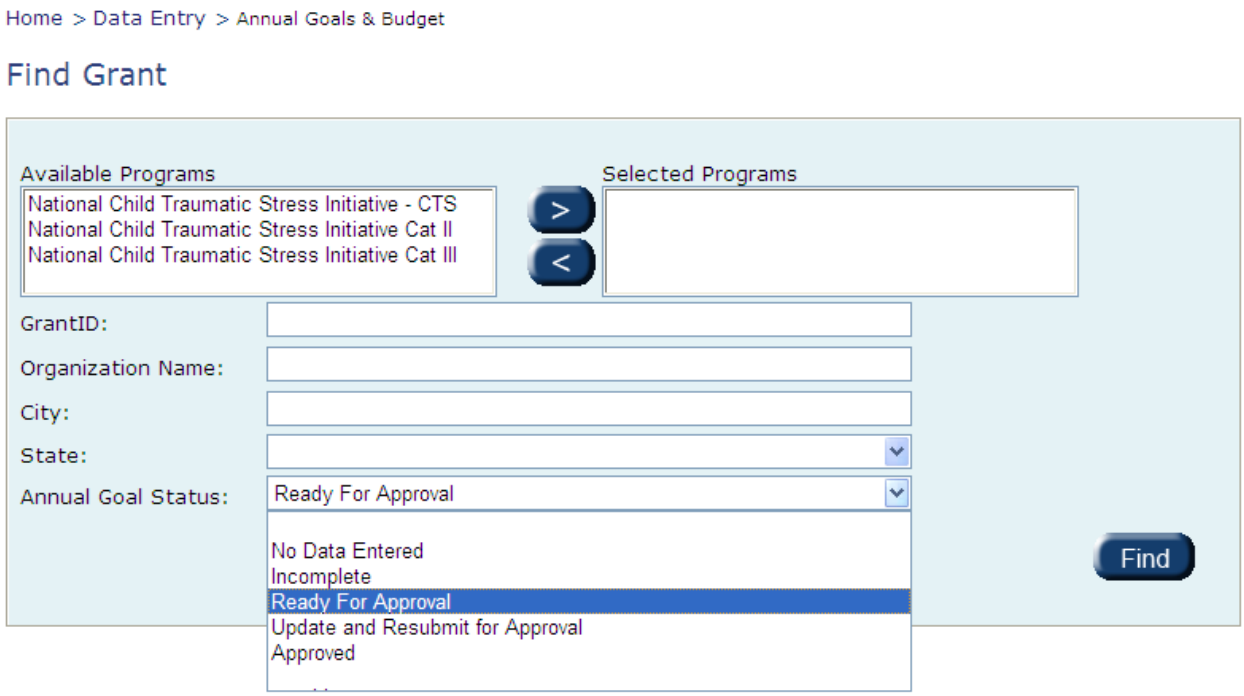
On the Find Grant screen you will see the programs and grants to which you have access. Select the program(s) in the Available Programs box, and click on ">" to add your program(s) to the Selected Programs box.



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

On the Find Grant screen you can search by Grant ID, Organization Name, City and/or State to find grants. Type the information in the appropriate box and click on the Find button. Unless you are looking for a specific grant, you will likely find it most useful to search by program and annual goals status.

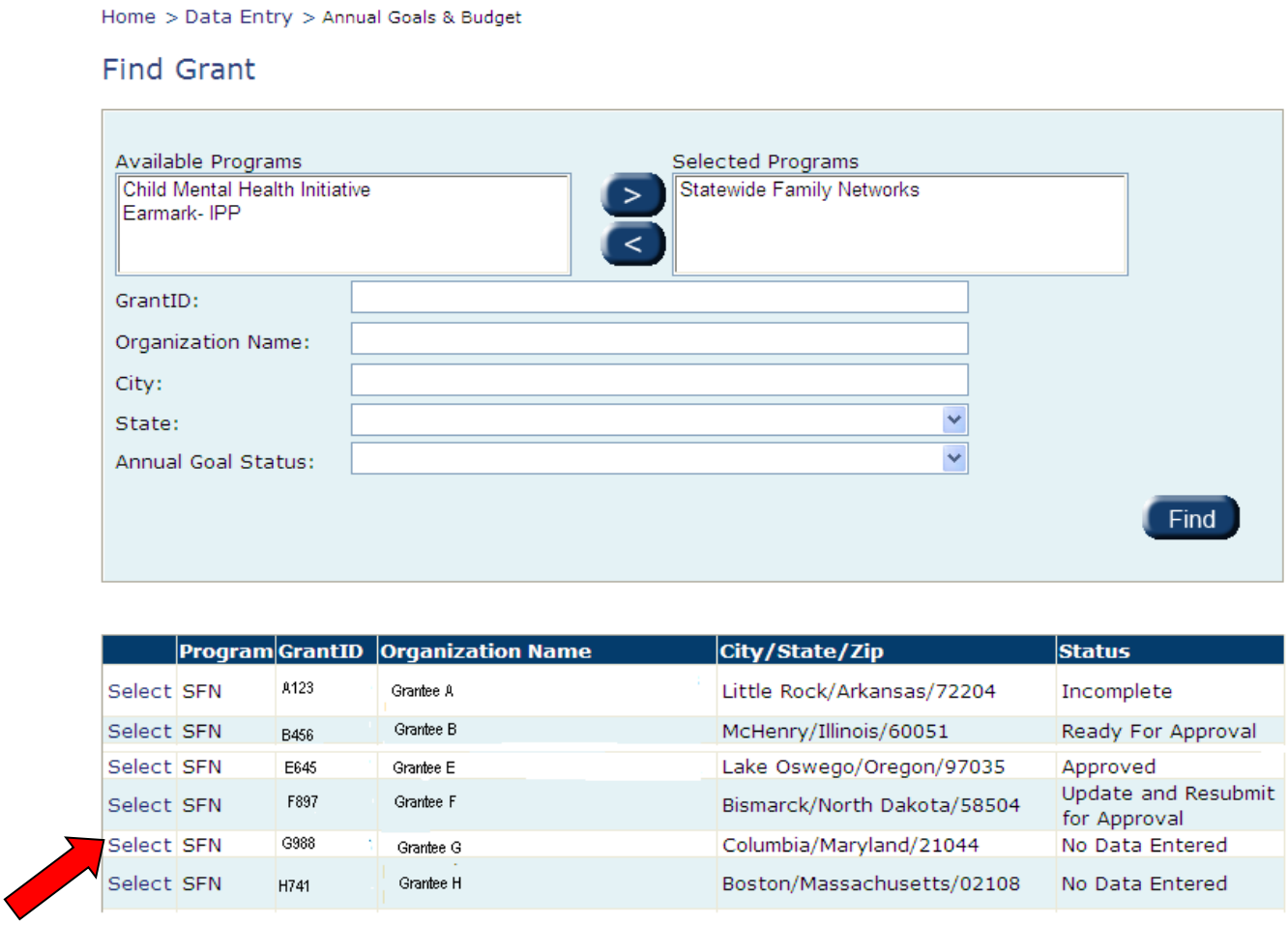
You can also search by Annual Goal Status from the Find Grant screen. Please select one of the categories from the Annual Goal Status drop down box and click on the "Find" button. The system will generate a list of your grants that you have selected.



Annual Goals Status Definitions

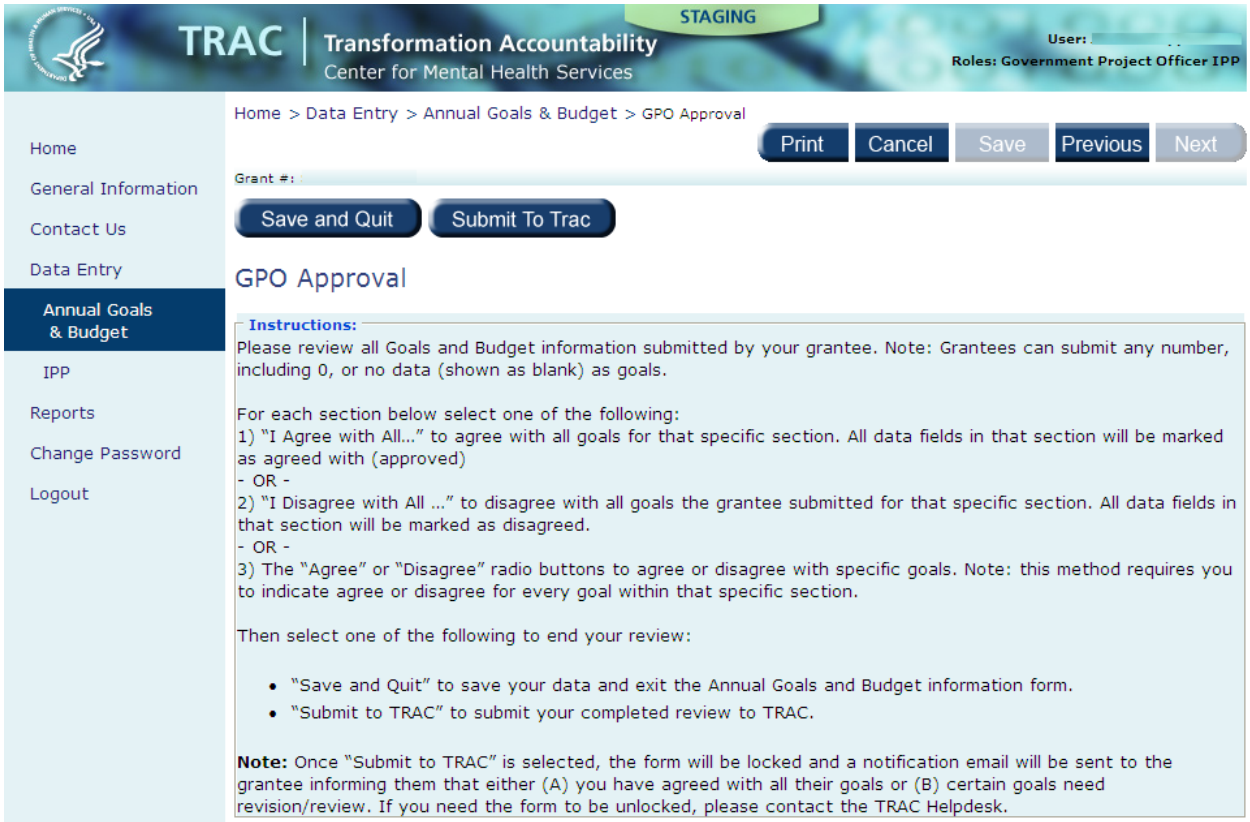
- **No Data Entered**: the Grant has not yet entered any annual goals or budget information.
- **Incomplete**: the Grant has entered and saved some data in the annual goals and/or budget information forms but has not finished.
- **Ready for Approval**: the Grant has entered all annual goals and budget information and it is ready for you to review.
- **Update and Resubmit for Approval**: the annual goals and budget information have been reviewed and you are requesting the Grant to edit the data.
- **Approved**: the annual goals and budget information has been reviewed and approved by you.

Once you have the list of grants you have specified, click "Select" to review the annual goals and budget information for a particular grant. You can sort the list by the column headings. Click on the column heading and the list will sort in ascending order or descending order if you click on it again.



Step 3: Review Goals and Budget Information

The GPO Approval screen is the screen that provides all the goals and budget information that were entered for a particular grant. This is where you will review and agree or disagree with what has been submitted. A grant can submit any number, including zero (0), but blanks are not allowed.
For ease of viewing in this guide, the GPO Approval screen has been broken down by Section: Instructions, Services Goals, Infrastructure Goals, Prevention and Mental Health Promotion Goals, and Budget Information. However, when you view the forms online, you will see one long, continuous screen; you will need to use the scroll bar on the right side of the screen to view the entire form.



For each section you have the options to either "Agree with all", "Disagree with all", or "Agree" or "Disagree" with specific goals or budget information. 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 has a required comments field (1250 character limit) for you to provide information or guidance to the grant when you disagree. For example, you might ask them to submit the goals or budget contained in a particular work plan, instead of what they have entered.

Services Goals

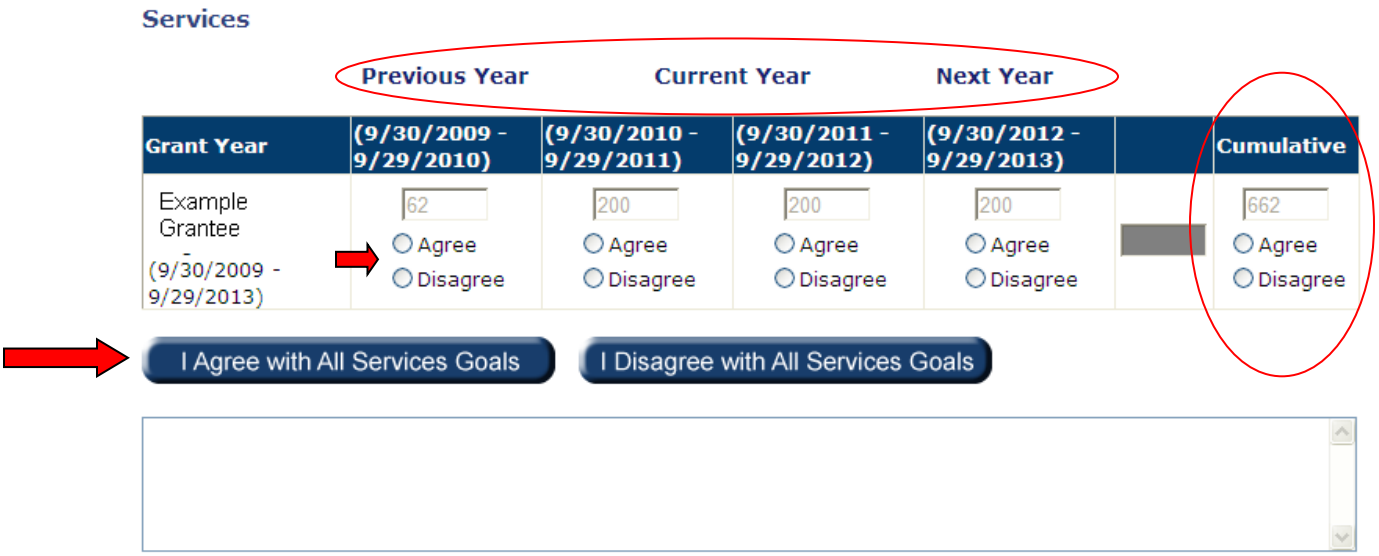
This section only applies to grants that provide data on CMHS NOMs Client-level Measures (Services Activities). The TRAC System will display each grant year in the grant's performance period.

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.
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 agree with all of the services goals, click on the "I Agree with All Services Goals" button. If you disagree with all of the services goals, click on the "I Disagree with All Services Goals" button. Alternatively, you can click on the "Agree" or "Disagree" radio buttons for each item. If you disagree with any grant year goal, the Cumulative goal will automatically be set to disagree as well. The cumulative goal will need to be updated to reflect any changes in grant year goals.

The comment box at the end of the section is required for any disagrees.

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

Infrastructure Development Goals

Infrastructure Development includes the activities that grants are doing to build infrastructure as result of grant funds and as it relates to the population with or at risk of mental illness. 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 (see Appendix A for indicator definitions). 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. Blanks are not allowed.
If you agree with all the infrastructure development goals, click on the "I Agree with All Infrastructure Goals" button. If you disagree with all of the infrastructure development goals, click on the "I Disagree with all Infrastructure Goals" button. Alternatively, you can click on the "Agree" or "Disagree" radio buttons for each item.

Infrastructure Indicators

Previous Year **Current Year** **Next Year**

Categories & Indicators	(9/30/2009 - 9/29/2010)	(9/30/2010 - 9/29/2011)	(9/30/2011 - 9/29/2012)	(9/30/2012 - 9/29/2013)	
Policy Development					
PD1 - The number of policy changes completed as a result of the grant.	0 Agree Disagree	0 Agree Disagree	0 Agree Disagree	0 Agree Disagree	
Workforce Development					
WD1 - The number of organizations or communities implementing mental health-related training programs as a result of the grant.	1 Agree Disagree	2 Agree Disagree	2 Agree Disagree	2 Agree Disagree	
WD2 - The number of people in the mental health and related workforce trained in mental health-related practices/activities that are consistent with the goals of the grant.	59 Agree Disagree	40 Agree Disagree	10 Agree Disagree	10 Agree Disagree	
Financing					
F1 - The amount of additional funding obtained for specific mental health-related practices/activities that are consistent with the goals of the grant.	37000 Agree Disagree	20000 Agree Disagree	40000 Agree Disagree	50000 Agree Disagree	
F2 - The number of financing policy changes completed as a result of the grant.	0 Agree Disagree	0 Agree Disagree	0 Agree Disagree	1 Agree Disagree	
F3 - The amount of pooled, blended, or braided funding used for mental health-related practices/activities that are consistent with the goals of the grant.	33372 Agree Disagree	50000 Agree Disagree	54000 Agree Disagree	50000 Agree Disagree	
Organizational Change					
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.	3 Agree Disagree	4 Agree Disagree	2 Agree Disagree	2 Agree Disagree	
Accountability					
A1 - The number of organizations making changes to accountability mechanisms in order to improve mental health-related practices/activities that are consistent with the goals of the grant.	1 Agree Disagree	2 Agree Disagree	2 Agree Disagree	2 Agree Disagree	
A2 - The number of organizations that regularly obtain, analyze, and use mental health-related data as a result of the grant.	2 Agree Disagree	2 Agree Disagree	2 Agree Disagree	2 Agree Disagree	
A3 - The number of communities that establish management information/information technology system links across multiple agencies in order to share service population and service delivery data as a result of the grant.	1 Agree Disagree	1 Agree Disagree	1 Agree Disagree	1 Agree Disagree	
A4 - The number and percentage of work group/advisory group/council members who are consumers/family members.	0 % Agree Disagree	25 % Agree Disagree	50 % Agree Disagree	50 % Agree Disagree	

I Agree with All Infrastructure Goals I Disagree with All Infrastructure Goals

Prevention and Mental Health Promotion Goals

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 (see Appendix A for indicator definitions). If you need additional information on indicator intent/key points, examples and definitions refer to the IPP Data Collection Guide at https://www.cmhs-gpra.samhsa.gov/index.htm under General Information > IPP Activities > Training Materials.

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. Blanks are not allowed.

Prevention and Mental Health Promotion Indicators

Previous Year | Current Year | Next Year

Categories & Indicators	(9/30/2009 - 9/29/2010)	(9/30/2010 - 9/29/2011)	(9/30/2011 - 9/29/2012)	(9/30/2012 - 9/29/2013)	
Awareness					
AW1 - The number of individuals exposed to mental health awareness messages.	200 Agree Disagree	500 Agree Disagree	500 Agree Disagree	500 Agree Disagree	
Screening					
S1 - The number of individuals screened for mental health or related interventions.	69 Agree Disagree	200 Agree Disagree	200 Agree Disagree	200 Agree Disagree	
Outreach					
O1 - The number of individuals contacted through program outreach efforts.	1000 Agree Disagree	1000 Agree Disagree	1000 Agree Disagree	1000 Agree Disagree	
O2 - The total number of contacts made through program outreach efforts.	200 Agree Disagree	400 Agree Disagree	400 Agree Disagree	400 Agree Disagree	
Referral					
R1 - The number of individuals referred to mental health or related services.	180 Agree Disagree	400 Agree Disagree	400 Agree Disagree	400 Agree Disagree	
Access					
AC1 - The number and percentage of individuals receiving mental health or related services after referral.	38 % Agree Disagree	50 % Agree Disagree	50 % Agree Disagree	50 % Agree Disagree	

I Agree with All Prevention and Mental Health Promotion Goals | I Disagree with All Prevention and Mental Health Promotion Goals

If you agree with all the prevention and promotion goals, click the "I Agree with All Prevention and Mental Health Promotion Goals" button. If you disagree with all the prevention and

promotion goals, click on the "I Disagree with all Prevention and Mental Health Promotion Goals" button. Alternatively, you can click on the "Agree" or "Disagree" radio buttons for each item.

Budget Information

The grants have a choice between submitting their budget information in dollar amounts or as percentage of the annual award amount. You will see the budget information the way the grantee entered it – either as dollars, as in the example below, or as percent. You will not be able to change from one to the other.

Budget Info

Previous Year **Current Year** **Next Year**

Category	(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)
Award Amount per Grant Year	170000 Agree Disagree	170000 Agree Disagree	170000 Agree Disagree	170000 Agree Disagree	170000 Agree Disagree
Services Provision					
Dollar Amount	50000 Agree Disagree	50000 Agree Disagree	50000 Agree Disagree	50000 Agree Disagree	50000 Agree Disagree
Infrastructure Development					
Dollar Amount	40000 Agree Disagree	40000 Agree Disagree	40000 Agree Disagree	40000 Agree Disagree	40000 Agree Disagree
Data Collection, Evaluation, Performance Measurement and Assessment					
Dollar Amount	25000 Agree Disagree	25000 Agree Disagree	25000 Agree Disagree	25000 Agree Disagree	25000 Agree Disagree
Mental Illness Prevention and Mental Health Promotion Activities					
Dollar Amount	40000 Agree Disagree	40000 Agree Disagree	40000 Agree Disagree	40000 Agree Disagree	40000 Agree Disagree
Grant Administration					
Dollar Amount	15000 Agree Disagree	15000 Agree Disagree	15000 Agree Disagree	15000 Agree Disagree	15000 Agree Disagree
Technical Assistance					
Dollar Amount	0 Agree Disagree	0 Agree Disagree	0 Agree Disagree	0 Agree Disagree	0 Agree Disagree
Sum of Dollar Amounts per Grant Year	170000	170000	170000	170000	170000
Percentage of Award Amount Accounted for:	100%	100%	100%	100%	100%

I Agree with All Budget Info I Disagree with All Budget Info

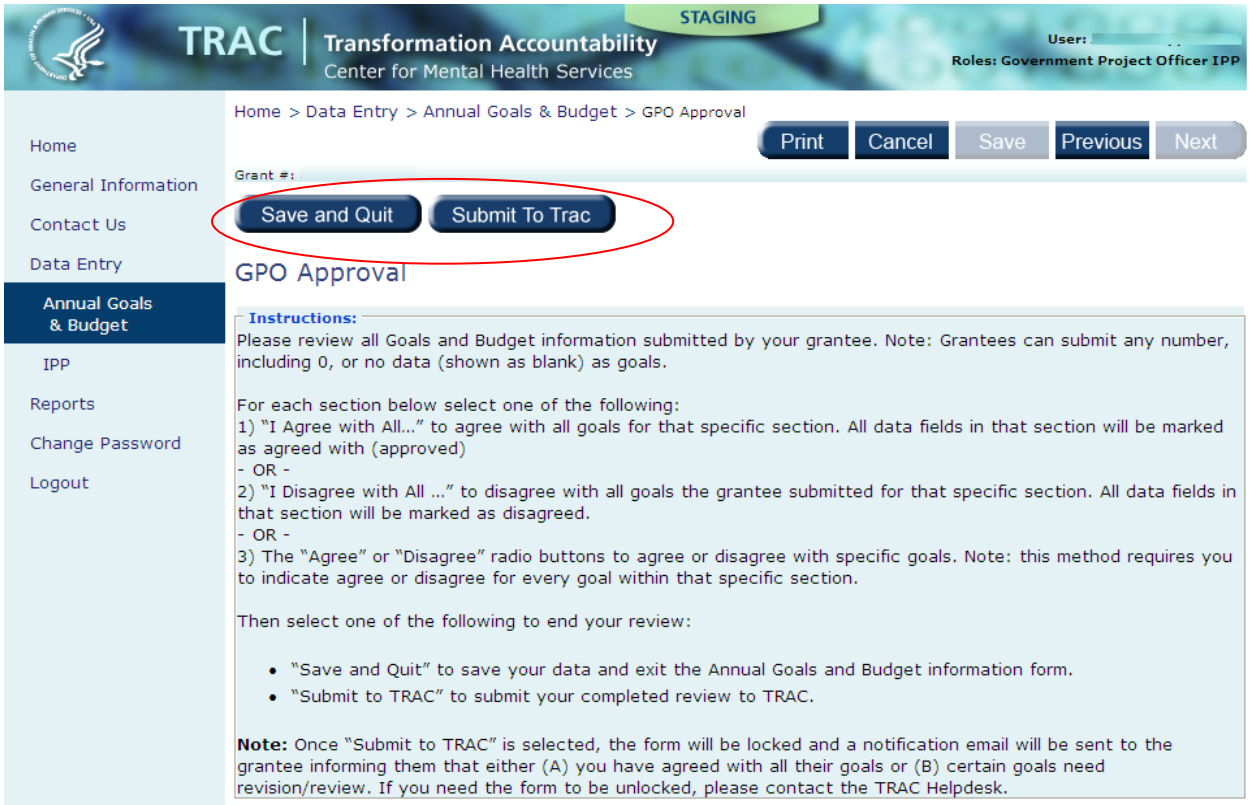
If you agree with all the budget information, click on the "I Agree with All Budget Info" button. If you disagree with all the budget information, click on the "I Disagree with all Budget Info" button. Alternatively, you can click on the "Agree" or "Disagree" radio buttons for each item in the budget.

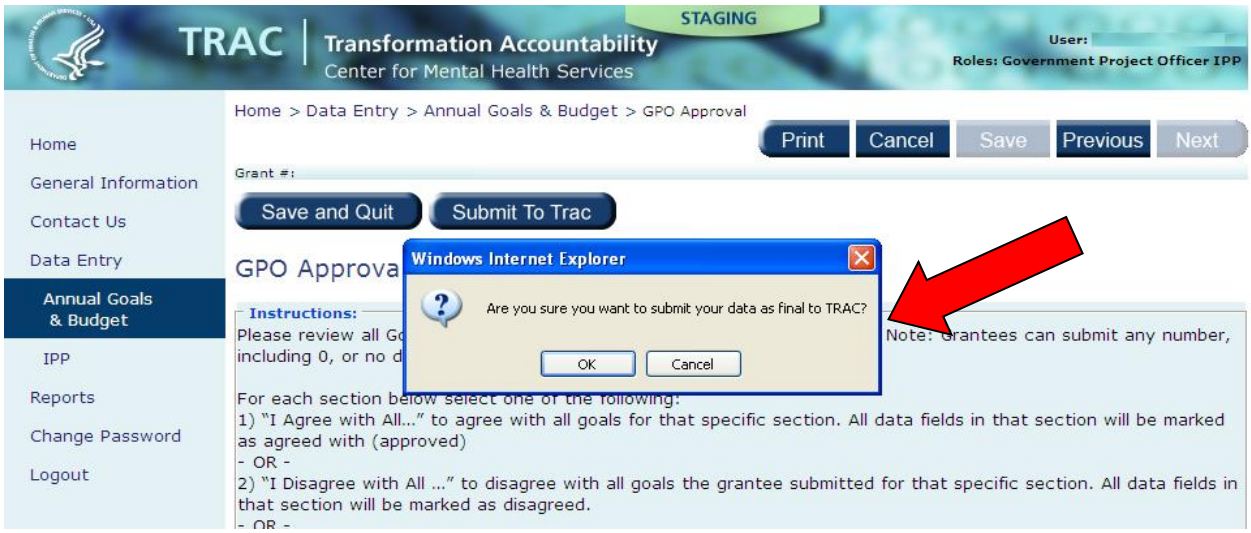
Step 4: Submit Data into the TRAC system

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 the "Save and Quit" button will save your data and take you back to the main data entry screen. Choose this option if you need to stop the review midway and come back to it later. Clicking on "Submit to TRAC" will save and submit your data to the TRAC system. 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. You may:

- Click "Cancel" to return to the summary screen without submitting, or
- Click "OK" to submit your data into the TRAC system and return to the main data entry screen.





Once you submit the data into the TRAC system, the grantee is sent an automated email as follows:

- If all items were set to "Agree", the grant is notified that their annual goals and budget information was approved; the grant's Annual Goals status on the Find Grant screen is updated to "Approved".
- If any items were set to "Disagree", the grant is notified by email, and is asked to edit and resubmit their annual goals and budget information (if required); the grant's Annual Goals status on the Find Grant screen is updated to "Update and Resubmit". When the grantee resubmits the information, the status on the Find Grant screen is updated to "Ready for Approval".

LOGGING OUT

To exit the TRAC system, please click "Logout" in the left menu.

It is important to log out of the TRAC system while away from your desk for security reasons. Logging out of the TRAC system will block unauthorized users from viewing or modifying data in the TRAC system.

GETTING HELP

For technical support or questions when using the TRAC system, please contact the TRAC system Help Desk, located at Westat. The Help Desk is open Monday through Friday.

Telephone: 1-888-219-0238
Email: TRACHELP@westat.com

APPENDIX A: IPP INDICATOR DEFINITIONS

The following table includes all IPP indicator definitions. Please refer to the TRAC website for a listing of IPP Indicators by program.

INFRASTRUCTURE DEVELOPMENT INDICATORS

POLICY DEVELOPMENT (PD)

PD1. The number of policy changes completed as a result of the grant

PD2. The number of organizations or communities that demonstrate improved readiness to change their systems in order to implement mental health-related practices that are consistent with the goals of the grant

WORKFORCE DEVELOPMENT (WD)

WD1. The number of organizations or communities implementing mental health-related training programs as a result of the grant

WD2. The number of people in the mental health and related workforce trained in mental health-related practices/activities that are consistent with the goals of the grant

WD3. The number of people credentialed/certified to provide mental health-related practices/activities that are consistent with the goals of the grant

WD4. The number of changes made to credentialing and licensing policies in order to incorporate expertise needed to improve mental health-related practices/activities

WD5. The number of consumers/family members who provide mental health-related services as a result of the grant

FINANCING (F)

F1. The amount of additional funding obtained for specific mental health-related practices/activities that are consistent with the goals of the grant

F2. The number of financing policy changes completed as a result of the grant

F3. The amount of pooled, blended, or braided funding used for mental health-related practices/activities that are consistent with the goals of the grant

ORGANIZATIONAL CHANGE (OC)

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

PARTNERSHIP/COLLABORATIONS (PC)

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

PC2. The number of organizations collaborating/coordinating/sharing resources with other organizations as a result of the grant

ACCOUNTABILITY (A)

A1. The number of organizations making changes to accountability mechanisms in order to improve mental health-related practices/activities that are consistent with the goals of the grant

A2. The number of organizations that regularly obtain, analyze, and use mental-health related data as a result of the grant

A3. The number of communities that establish management information/information technology system links across multiple agencies in order to share service population and service delivery data as a result of the grant

A4. The number and percentage of work group/advisory group/council members who are consumers/family members

A5. The number of consumers/family members representing consumer/family organizations who are involved in ongoing mental health-related planning and advocacy activities as a result of the grant

A6. The number of consumers/family members who are involved in ongoing mental health-related evaluation oversight, data collection, and/or analysis activities as a result of the grant

TYPES/TARGETS OF PRACTICES (T)

T1. The number of programs/organizations/communities that implemented specific mental-health related practices/activities that are consistent with the goals of the grant

T2. The number of programs/organizations/communities that implemented evidence-based mental health-related practices/activities as a result of the grant

T3. The number of people receiving evidence-based mental health-related services as a result of the grant

T4. The number of programs/organizations/communities that implemented adaptations of EBPs to incorporate the special needs of unique populations or settings as a result of the grant

MENTAL ILLNESS PREVENTION AND MENTAL HEALTH PROMOTION INDICATORS

AWARENESS (AW)

AW1. The number of individuals exposed to mental health awareness messages

TRAINING (TR)

TR1. The number of individuals who have received training in prevention or mental health promotion

KNOWLEDGE/ATTITUDES/BELIEFS (NAB)

NAB1. The number and percentage of individuals who have demonstrated improvement in knowledge/attitudes/beliefs related to prevention and/or mental health promotion

SCREENING (S)

S1. The number of individuals screened for mental health or related interventions

OUTREACH (O)

O1. The number of individuals contacted through program outreach efforts

O2. The total number of contacts made through program outreach efforts

REFERRAL (R)

R1. The number of individuals referred to mental health or related services

ACCESS (AC)

AC1. The number and percentage of individuals receiving mental health or related services after referral