Annual Goals and Budget Information: Tip Sheet for Grantees

Introduction:

- The purpose of establishing TRAC goals is to quantify what you are already planning to accomplish with your grant.
- The impetus for developing the Budget Information section was to create a way to account for monies budgeted on various activities, such as infrastructure development.
- After the Annual Goals and Budget Information are approved, it will be used for performance management and oversight.
- Government Project Officers (GPOs) review goals and budget information and approve them based on consistency with SAMHSA goals for the grant program.
- The Goals and Budget Information sections are connected: in order to get to the Budget Information section, you need to go through the Goals section. This is an example of what you would see when you enter your data in the first year of the grant:

  "Annual Updates: Each year you can update your Goal and Budget Information."

  Brief instructions on how to complete your updates are provided at the end of this tip sheet.

Getting Started:

1. Before filling out the Annual Goals and Budget Information forms, you should estimate your performance goals and budget expenditures for each of the grant years awarded and for all activities for each funded grant year.

2. You should familiarize yourself with the Services activities and Infrastructure Development, Prevention and Mental Health Promotion (IPP) indicators relevant to your grant program and review the definitions of the indicators for your grant program.

Goals should be realistic, tied to the grantee's work plan, and aligned with their budget.

3. You should also review the specific requirements for your grant program based on the Notice of Grant Award and the Request for Application. If you have already submitted quarterly TRAC data, you may use this information as a guide as well.

4. You should review the grant application and plan for what you intend to achieve with your grant. Please note: Goals can be adjusted annually during a set time period for the current and future grant years.

Grantees do NOT need to enter a cumulative goal for infrastructure indicators, only for Services Activities.

5. If there are not any activities planned for a particular IPP indicator selected for the program, enter a goal of **ZERO** (0). **Do not leave any blanks**. Depending on the structure and goals of the program, a GPO can approve a goal of zero. As long as the GPO approves, there will be no negative consequences for having a goal of zero entered for a particular indicator.

6. You should specify goals for each grant year in which your grant is active. For grants awarded prior to July 2010 you should set annual performance goals for the grant years that fall after July 2010. You are not required to fill out any information for past years and the spaces may be left blank.

Entering in Goals:

7. Services Activities Goals (NOMs Client-level Measures): If you collect and report NOMs Client-level Measures to TRAC, enter the planned number of consumers to be served for each grant year. You must also enter a cumulative total of consumers to be served. The cumulative total is an unduplicated total.

8. IPP Goals: If you collect and report IPP data to TRAC, you should enter a goal for each required indicator for each grant year. You should enter a zero (0) for any activity you think your grant will not conduct in a given grant year. Do not leave any blanks.

9. **SAVE!** Data will be lost if you do not click the SAVE button at the top of each screen.

Entering Budget:

10. You can choose to enter budget data by selecting either **"Dollar Amount"** or **"Percent of Annual Grant Award Amount".** If you choose to enter budget information by dollar amount and then decide to change it to percentage, you will lose all entered data (and vice versa, converting from percentage to dollar amount). Once you have chosen how you want to enter your budget, click on the NEXT button to move on.

11. Enter the grant's award amount for **each year** in the "Award Amount per Grant Year" row.

12. Enter the dollar amount for each **category** in the "Dollar Amount" rows. **Be sure to fill out ALL columns. Do not leave any blanks.** Please note:

- The sum of the dollar amount for each grant year must be consistent with the original Notice of Award funding amount, otherwise you will not be able to save your budget information and will receive an error message.
- SAMHSA grant dollars can only be included in the budget. In-kind contribution monies CANNOT be included.
- Document in-kind contributions in the narrative section of the Annual and Progress Report and Continuation Applications.
- Enter **Zero** (0) if you will not spend money in a specific category.

What belongs in each category?

- **Services Activities 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.

- **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 money/time spent on:

- 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:** Activities include the time and resources you spend 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 your project. Grant announcements typically include sections on the Government Performance and Results Modernization Act of 2010 (GPRAMA), evaluation, data collection, and performance assessment requirements, and define the percentage of grant funds which can be expended on these activities. Grant Application Review criteria typically require grantees to describe their data collection, evaluation, and performance assessment plans in the application.

  Some examples of what could be included are money/time spent on:
  - TRAC;
  - The Cross-Site Evaluation; and
  - Local evaluation

- **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 money/time spent on:
  - Awareness campaigns and activities;
  - Trainings;
  - Education seminars;
  - Screening, outreach, and referral; and
  - Social networking and social media campaigns

Please contact your GPO with questions regarding how particular grant activities should be categorized. Make sure you are familiar with the categories before doing so!

- **Technical Assistance:** Only report in this category if you provide Technical Assistance.

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

Some examples of what could be included are money/time spent on:

- 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.

13. Click SAVE at the top of the screen.

14. Click NEXT to move to the Summary/Approval screen.

15. **FINISH!** Once you are done, you will be at the Summary/Approval screen. You can click on Save and Quit if you still need to return to enter additional information. Once you are satisfied with all of your goals and budget entries click on Submit for Approval.

    After the Annual Goals and Budget Information submission deadline, GPOs will review the information submitted. An e-mail will be sent to grantees when GPOs either agree or disagree with any of the information.

Reporting Due Dates for Annual Goals and Budget Information:

- In your grant's first year, your Annual Goals and Budget Information data is due **90 days after your grant is trained**.
- Each subsequent year you will have an opportunity to update this information. You will be reminded by the TRAC Help Desk when to start.

Annual Update Period	Grantees enter updates by:	GPO review & grantee revisions completed by:	System will lock on:
October 1 – December 31	December 31	March 31	April 1