Transformation Accountability (TRAC)

Center for Mental Health Services

Annual Goals and Budget Information

GUIDE FOR GRANTEES

February 2013

Version 5

CMHS

Center for Mental Health Services
SAMHSA

TABLE OF CONTENTS

GENERAL OVERVIEW

This guide provides an overview of the Transformation Accountability (TRAC) online reporting system for the Annual Goals and Budget Information module. The TRAC system provides a platform for grantees to enter, review, and update their annual performance goals and budget information, as required by the Center for Mental Health Services (CMHS).

This guide contains the following sections:

Section A: Key Terms

Section B: Accessing the TRAC System

Section C: Obtaining a TRAC User Account

Section D: Set Your Annual Goals

Section E: Entering Annual Goals and Budget Information

Section F: Summary and Submit for GPO Approval

Section G: Updating your Annual Goals and Budget Information

After you have entered your annual goals and budget information, your CMHS Government Project Officer (GPOs) will review your goals and budget information and approve them based on consistency with SAMHSA's goals for your grant program, the original grant application or contract work plan. After your annual goals and budget information is approved, they will be used by CMHS for performance management and oversight.

SECTION A: KEY TERMS

This section presents brief definitions of terms used throughout the Annual Goals and Budget Information Guide.

Client-level Measures for Discretionary Programs Providing Direct Services (Services Activities): TRAC Activities that grantees undertake to provide treatment to consumers. See Appendix A: TRAC Activities by CMHS Program for a list of CMHS Programs that provide Services Activities data.

Consumer: A person who is actively in treatment with a CMHS-funded program.

Infrastructure Development, Prevention and Mental Health Promotion (IPP): Activities grants are doing to build infrastructure, to prevent mental illness and promote mental health. See Appendix A: TRAC Activities by CMHS Program for a list of CMHS Programs that report IPP data.

IPP Categories and Indicators: Indicators are designated by CMHS program leads to reflect critical activities to be completed as part of the grant program as specified within the Request for Application. Please note that while Indicators are required at the program level, they may not be required of an individual grant with GPO approval. Indicators are organized by category (for example, Policy Development, Workforce Development, etc.). See Appendix B: IPP Indicators for a list of categories and indicators.

Federal Fiscal Year (FFY): The federal fiscal year is the accounting period of the federal government. It begins on October 1 and ends on September 30 of the next calendar year. Each fiscal year is identified by the calendar year in which it ends and commonly is referred to as "FFY." For example, FFY2011 began October 1, 2010, and ends September 30, 2011.

Grant Year: One year within a grant performance period, and is individual to each grant. It begins the day the grant is awarded and ends 365 days later; during leap years it ends 366 days later. For example, a grant that was awarded September 1, 2010 begins its first grant year on September 1, 2010 and ends August 31, 2011.

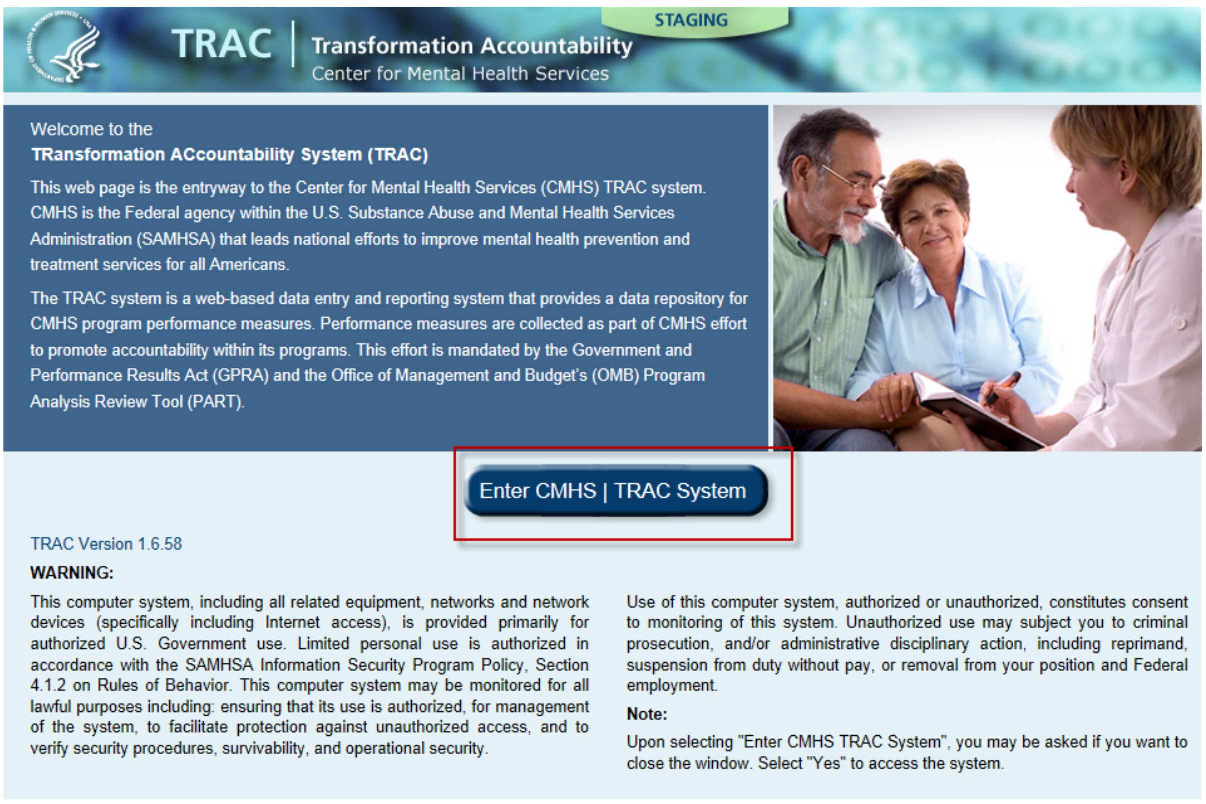
Please note: Some one-year grants have a year that is slightly more than 365 days. For these grants, the TRAC system will place the extra days in a second year. It is understood that this is not a true grant year. Please provide all of your information for the first year, and put a zero (0) in the extra year.

Annual Goal (*For Services Activities*): The planned number of consumers that will receive services that are impacted by CMHS grant-funds in a given grant year. **(*For IPP activities*):** Varies depending on the Infrastructure and/or Prevention and Promotion indicators that are required by your grant program. Goals are set by grantees in collaboration with their GPOs.

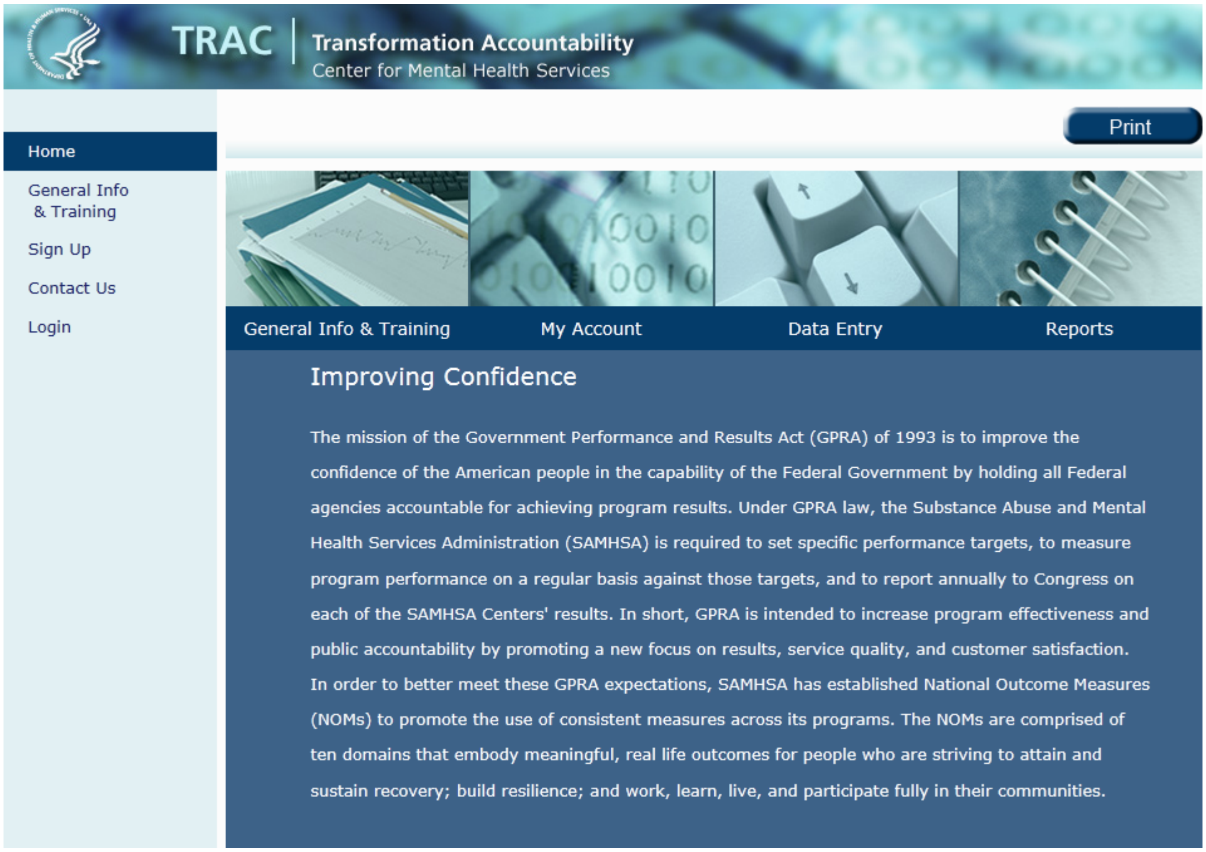
SECTION B: ACCESSING THE TRAC SYSTEM

The web address for the TRAC system is https://www.cmhs-gpra.samhsa.gov. We encourage you to create a bookmark to easily access to the website.

To access the TRAC system data entry main menu, please click the **Enter CMHS | TRAC System** hyperlink.



The TRAC Home page will appear after clicking the CMHS | TRAC button. It is composed of the following sections: **General Info & Training**, **Sign Up**, **Contact Us**, and **Login**.



The **General Info & Training** hyperlink allows access to the public section of the site; it does not require a username or password. Anyone with Internet access can retrieve information from this section. The public section is used to disseminate general information about the TRAC project.

Once you select General Info & Training you will see links to:

- A brief overview of TRAC;
- The Government Performance and Results Act (GPRA) Law;
- TRAC's Annual Goals and Budget Information;
- TRAC's Infrastructure Development, Prevention, and Mental Health Promotion (IPP) activities;
- TRAC's NOMs Client-level Measures (Services Activities);
- TRAC's Technical Assistance (TA) Annual Survey; and
- TRAC's Privacy Policy

The password protected portions of the site allow access to **Data Entry**, **Reports**, **Data Download**, and the grantee specific **My Account Page**. These sections of the site are for authorized users to view and/or download restricted TRAC documents or information and to enter data and/or run reports.

NUMBER OF USERNAMES AND PASSWORDS PER GRANTEE

The TRAC system allows each user to have his/her own username and password. There is no limit to the number of usernames and passwords that can be issued to a grantee. Grant project directors are responsible for identifying who should have access to the TRAC system. (More details on how to obtain a TRAC user account will be provided in the Obtaining a TRAC User Account section.)

ACCESSING MULTIPLE GRANTS

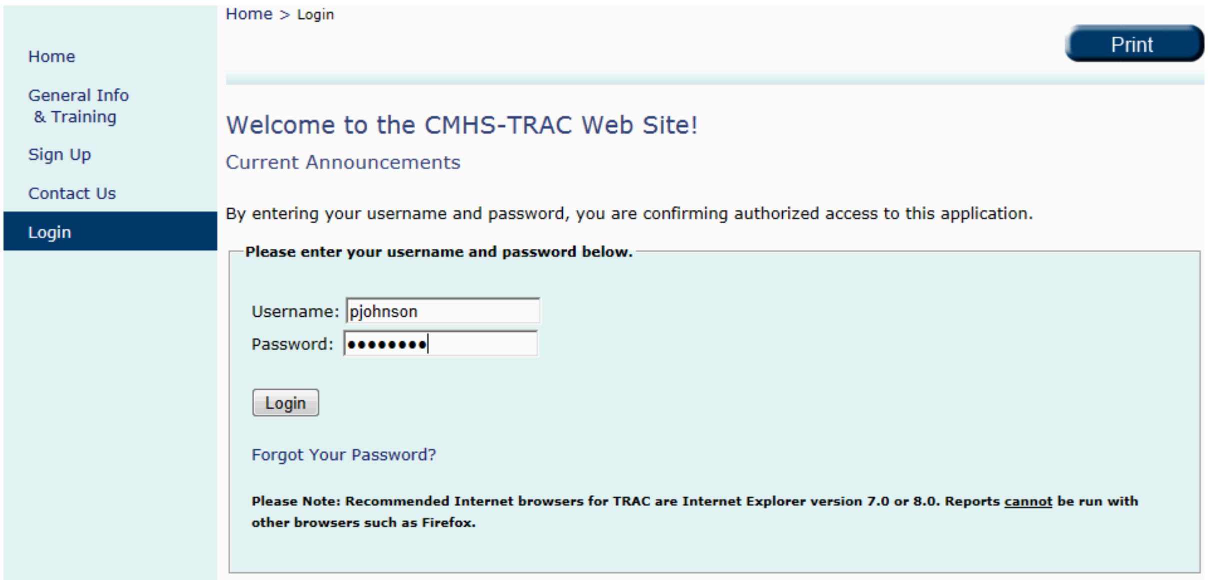
If you have access to more than one grant, you may or may not be assigned more than one username and password for each grant that you are associated with. This depends on what organization your grant falls under, as well as what role you are assigned to on that grant. Either way, you can use the same email address for all associated grants when requesting a username and password. (Please refer to the System Roles section for more information.)

USERNAMES AND PASSWORDS

Your username will be based on your name. For example, if your name is Paul Johnson, your username will most likely be pjohnson (the first initial of your first name followed by your full last name). Once you have been granted access to the system, a password is randomly generated for you by the TRAC system. You will then be sent an email from the TRAC Help Desk with your initial username and temporary password.

LOGGING IN

To login, select the **Login** hyperlink. This screen will then prompt you to enter your username and password.



CHANGING INITIAL PASSWORD

The first time you log on to the TRAC system, you will be prompted to change your password. A password can be any combination of numbers and letters; however, it must contain at least one capital letter and one number in order to minimize identity theft. Passwords must also be different from your username, be between 6 and 15 characters in length and contain no blanks. Passwords are also case sensitive. The password should be something easy for you to remember but difficult for someone else to guess.

EXPIRATION OF PASSWORDS

Passwords automatically expire every 180 days. The TRAC system will prompt you to create a new password when yours expires. The new password must be different from any password you have used before.

CHANGE PASSWORD HYPERLINK

Once you log in, you may change your password by selecting the **Change Password** hyperlink on the left menu bar. Note: You must know your username and current password in order to use the Change Password feature. If you do not, please contact the TRAC Help Desk.

FORGOT YOUR PASSWORD HYPERLINK

The TRAC system will allow you up to five unsuccessful password attempts before your account will become disabled. These attempts do not necessarily have to be in immediate succession; it counts the attempts over time and on the fifth time, your account will automatically be disabled. You will need to contact the TRAC Help Desk if this occurs. If you do not remember your password, select the **Forgot Your Password?** hyperlink to receive your password via email. You will be instructed to follow the Change Initial Password instructions once you receive the temporary password. Note: You must know your username in order to use this feature. If you do not, please contact the TRAC Help Desk.

TRAC SYSTEM AUTOMATIC TIMEOUT

For security reasons, the TRAC system is set to automatically log a user off after 20 minutes of inactivity. When entering data into the annual goals and budget screens, *make sure to save as you work* or the data will be lost when the TRAC system times out.

SYSTEM ROLES

Each user is assigned a role within the TRAC system that dictates his/her function and access. In the Annual Goals and Budget Information module, the following roles are available:

Grantee

- Designated Grantee Staff
- Can enter annual goals and budget information for the grant
- Can revise Results per GPO comment
- Has access to all grants to which he/she is associated

Government Project Officer (GPO)

- CMHS staff
- Provides oversight of grantee data collection, annual goals, performance
- Ensures grantees' goals are in line with program requirements
- Has access to all grants to which he/she is associated

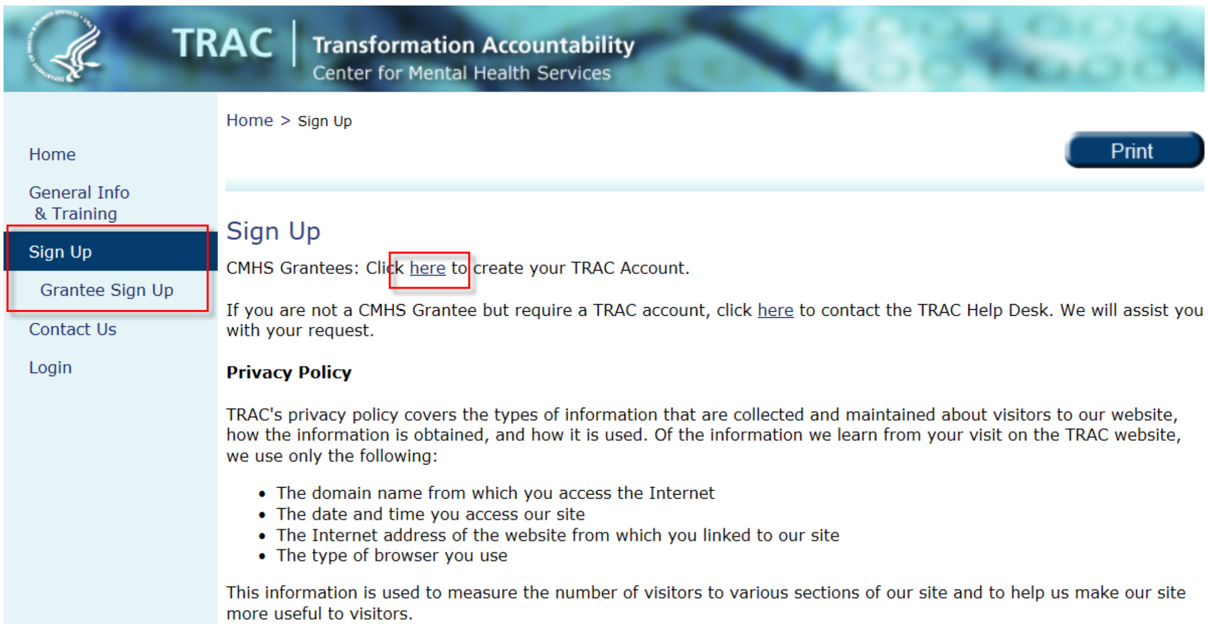
Federal Program Director (FPD)

- CMHS staff
- Program Leader
- Responsible for data collection decisions for all grants within a program. This involves ensuring consistency in data collection and definitions
- Designated by CMHS leadership and may also be a GPO
- Has access to all grants to which he/she is associated

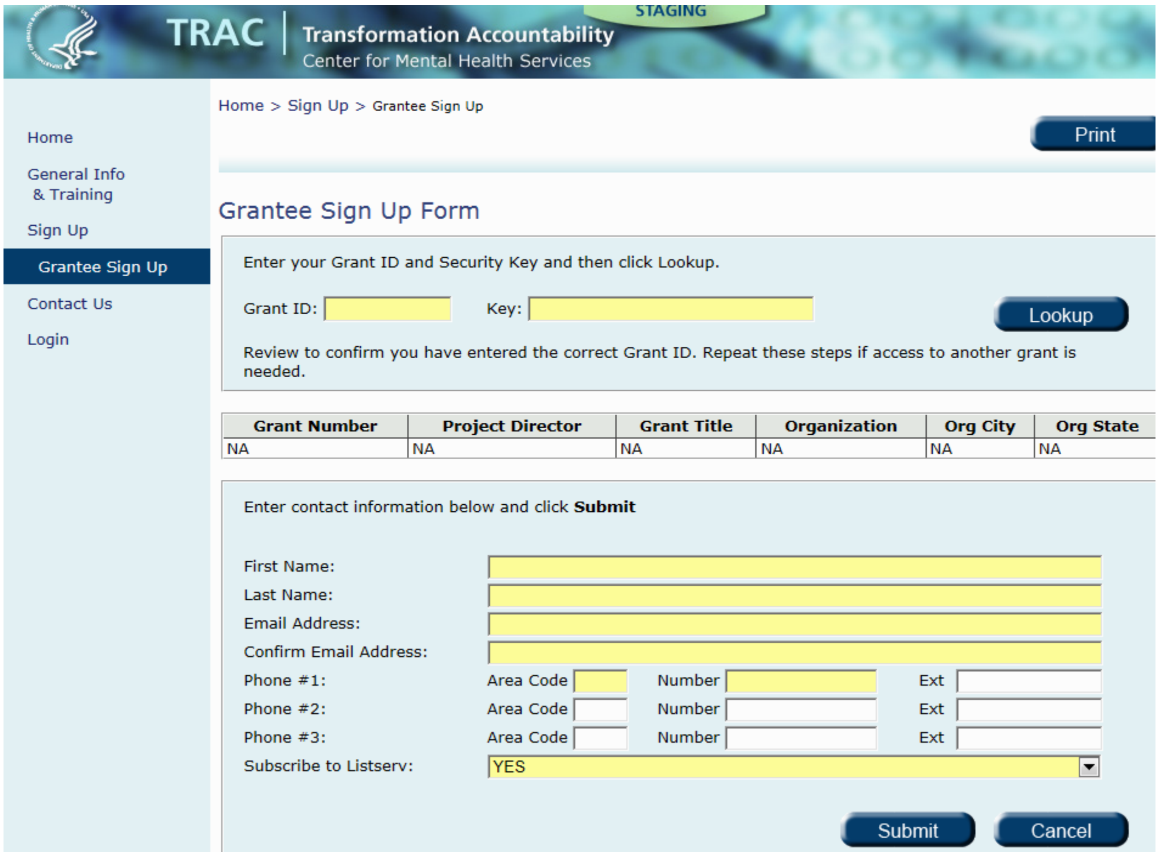
SECTION C: OBTAINING A TRAC USER ACCOUNT

SIGN UP

To request a TRAC user account go to the TRAC website at https://www.cmhs-gpra.samhsa.gov, select the **Sign Up** hyperlink, then select either the **here** hyperlink or the **Grantee Sign Up** tab located on the left-hand side of the screen.



The screen below is where you will request an account for TRAC. Enter the **Grant ID** and **Key** and click **Lookup**. The Grant ID and Key were sent to your Project Director and should have been forwarded to any staff who need TRAC access. Your Grant information will appear in the table. You should review this information to be sure it is the grant to which you are requesting access. You will then need to enter your contact information and click **Submit**. You will see a message that your request has been submitted and you will also receive a confirmation email. If you need to cancel your request you can click **Cancel** and it will clear the screen.



After a request has been submitted, an email will be sent to the Project Director on file for approval of the request. When the request is approved, the new user will receive an email with their username and temporary password.

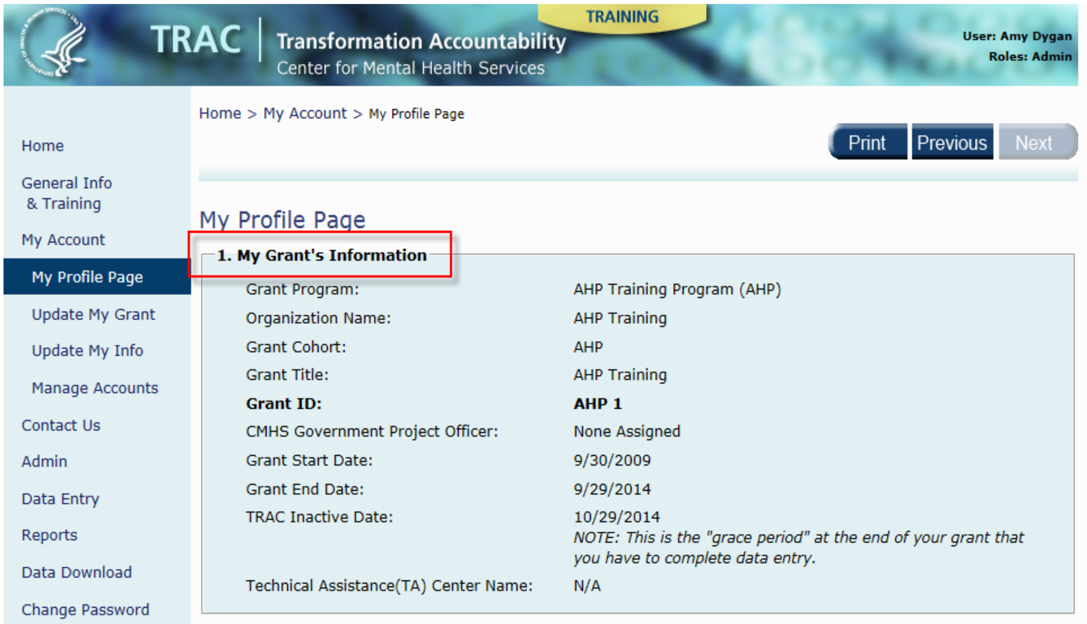
MY ACCOUNT

The **My Account** section of the TRAC system allows users to view grant information, update their contact information, and manage TRAC user accounts (based on user role).

The **My Profile Page** has information specific to each TRAC grant. If you are a new grantee you may find it helpful to visit this page. If you have access to multiple grants, you will need to select the grant for which you want to see the My Profile Page.

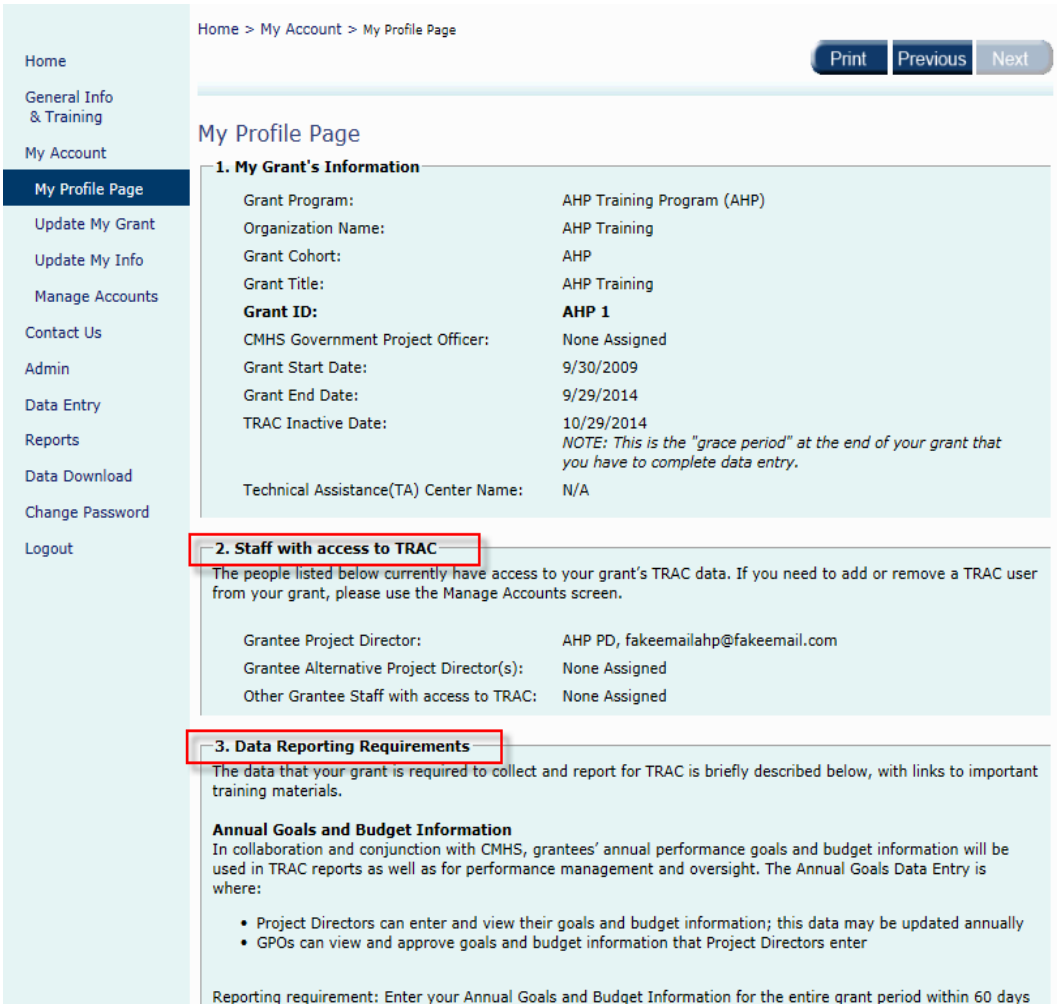
There are three parts to a grantee's profile: **My Grant's Information, Staff with access to TRAC**, and **Data Reporting Requirements**.

The **My Grant's Information** section provides the Grant program name, Grant ID, Grant start date and end date, and assigned CMHS Government Project Officer.



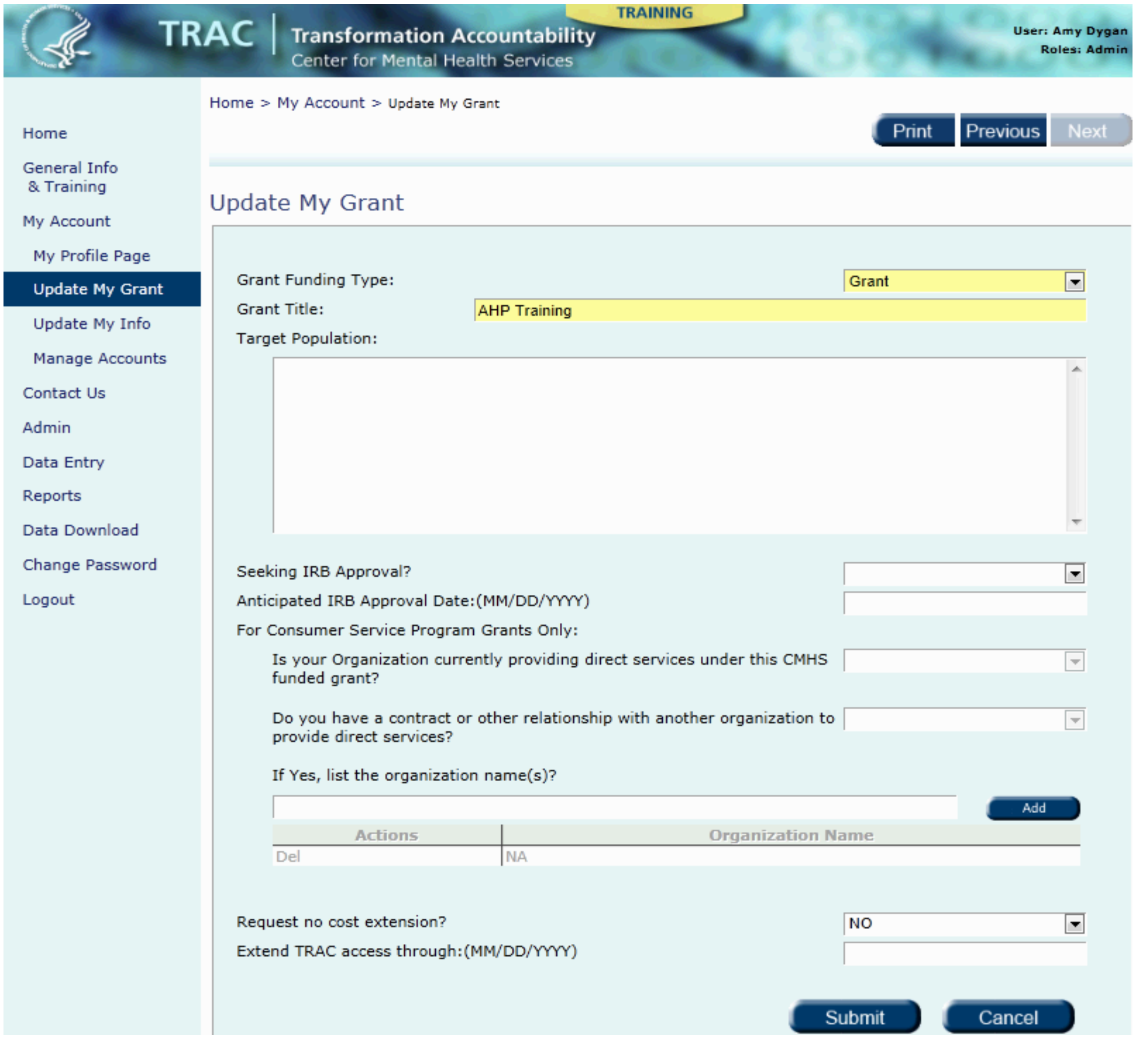
The **Staff with access to TRAC** section contains the most updated staff information that has been entered into TRAC.

The **Data Reporting Requirements** section lists which TRAC module activities your grant is expected to conduct. This section also provides general timelines for data collection and direct links to related training materials including program specific guidance, if applicable.

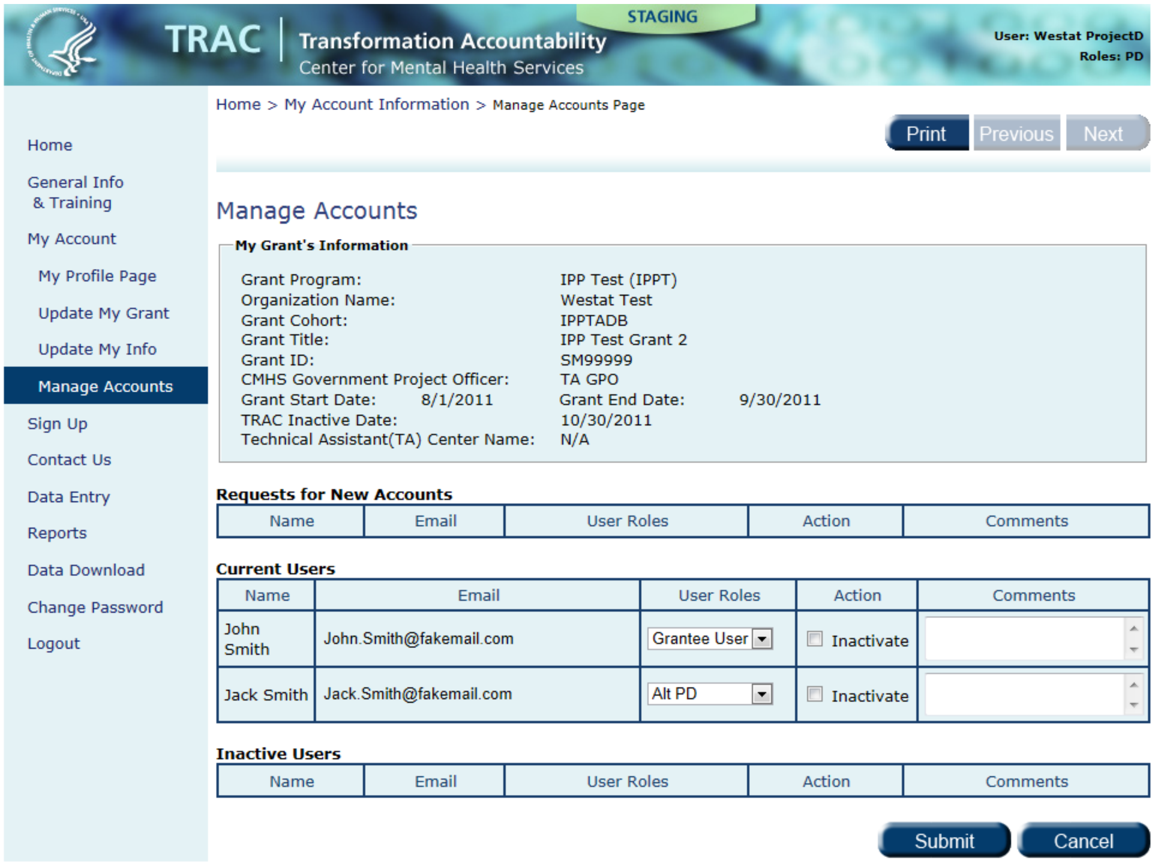


The **Update My Info** page is available to all users and allows a user to update his/her contact information.

The **Update My Grant** and **Manage Accounts** screens are available to Project Directors and Alternate Project Directors only. The Update My Grant screen can be used to update grant information.



The **Manage Accounts** screen is used to manage a grant's user accounts. On this screen a Project Director or Alternate Project Director can approve/disapprove accounts and inactivate/reactivate users.



REMOVING A USER'S TRAC ACCESS

TRAC user accounts should be inactivated when a staff member leaves the project or if a staff member was given TRAC access in error. This process is done from the Manage Accounts Screen by either a Project Director or Alternate Project Director.

A Project Director's access can only be granted or inactivated by the TRAC Help Desk. The TRAC Help Desk should also be notified if a security breach has been suspected or if you need assistance at any time during this process.

SECTION D: SET YOUR ANNUAL GOALS

Your goals should reflect the specific requirements for your grant program, the activities you proposed in your application, and the requirements in your Notice of Grant Award. Your GPO is available to discuss questions that are specific to your grant program or project with you. However, as you go through this section you may want to make an initial attempt at setting goals before contacting your GPO. The purpose of establishing TRAC goals is to *quantify what you were already planning* to accomplish with your SAMHSA grant or contract. The purpose is NOT to make you add new activities beyond your original proposal.

Each CMHS grant is required to set annual goals for what it intends to achieve for each year of the grant performance period. Each grant is asked to set goals only for the activities that are required by the grant program, based on whether the grant funds IPP activities, Services Activities, or both. Grants that engage in IPP activities are required to estimate annual goals for only the required IPP indicators. Appendix B: IPP Indicators provides a full list of all IPP indicators; however required IPP indicators do vary across different grant programs.

1. The first step in setting your goals is to identify whether your grant is required to submit IPP and/or Services Activities data. Your request for grant application should have specified this for you. If you are unsure, you can ask your GPO.

2. If you are required to submit IPP data, you will need to take these additional two steps. They are:

    a. First, identify the IPP indicators relevant to your grant program. Your request for grant application should have specified this for you, and it can also be found on the TRAC website at https://www.cmhs-gpra.samhsa, by clicking on General Info & Training > IPP Training > Program Specific Guidance, and scrolling down to Indicators by Program. This information can also be found in the password protected area of the TRAC website (aft you have logged in) at https://www.cmhs-gpra.samhsa > My Account > My Profile Page. (Be sure that you have identified the correct program and year your grant was funded, referred to as "cohort".)

    b. Second, review the definitions of the indicators for your grant program. You can find a brief summary description of these in this document under Appendix B: IPP Indicators or on the TRAC website at https://www.cmhs-gpra.samhsa, by clicking on General Info & Training > IPP Training, and scrolling down to Training Guides: Description of all Indicators.

3. Next, review the specific requirements for your program based on your Notice of Grant Award and the Request for Application (RFA) for your program. Information on the RFA is available on the SAMHSA website.

    a. The current Federal Fiscal Year RFA announcements can be found at http://www.samhsa.gov/grants/

    b. Previous Federal Fiscal Year RFA announcements can be found at http://www.samhsa.gov/Grants/archives.aspx

4. With this background on the general requirements and your required indicators the next step is to review your grant application where you provided a plan for what you intended to achieve with your grant. The information in your application should serve as a guide in developing your goals and budget, which are a quantification of your objectives. If you have modified your plans with the approval of your GPO since your last formal application or work plan, incorporate the approved modifications into your calculations. Consider all the activities you have planned and how each relates to the infrastructure, prevention, promotion or services categories.

5. You may find that your grant application (or contract work plan) was not specific enough to be able to quantify goals or budget. In that case, you must more specifically plan out your activities for the year before you set your TRAC goals. You may be less certain of goals for future years of the grant/contract because a future activity depends on earlier activities, or for other reasons. Nevertheless, make your best estimate of what you will reasonably be able to accomplish throughout the life of the grant. If you feel in later years that previously set goals should be changed due to unforeseen circumstances, you can work with your GPO to revise them.

6. If you do not have any activities planned for a particular IPP indicator selected for your program, you should enter a goal of zero (0). Depending on the structure and goals of the program and your specific project, your GPO can approve a goal of 0. As long as your GPO approves, there will be no negative consequences of having a goal of 0 for a particular indicator.

Your goals should be realistic, tied to your work plans, and aligned with your budget. If you are required to submit IPP annual goals, you can find further guidance in this document under Appendix C: Setting IPP Goals.

SECTION E: ENTERING ANNUAL GOALS AND BUDGET INFORMATION

When you enter each of your grant's annual performance goals and budget information into the TRAC system, you will need to specify goals only for the activities your grant conducts. For example, if your grant is working on infrastructure development but does not engage in Prevention and Mental Health Promotion activities or provide direct consumer Services Activities, you will only be required to submit annual goals for your infrastructure indicators.

You should specify goals for each grant year of your award, which will be in the TRAC system according to the information we received from your GPO.

Annual Goals and Budget Information should be entered into the TRAC system no later than one federal fiscal year (FFY) quarter following the close of the FFY quarter in which your grants were awarded. The FFY runs from October 1st through September 30th of each year.

Goals and budget information should be submitted by the deadlines as noted in the table below.

New Grants with Award Dates Between	Enter Annual Goals and Budget Before	GPO Review & Grantee Revisions Completed Before
October 1 – December 31	April 1	July 1
January 1 – March 31	July 1	October 1
April 1 – June 30	October 1	January 1
July 1 – September 30	January 1	April 1

STEP 1: LOG IN AND ACCESS THE DATA ENTRY SYSTEM

Once you log in to the TRAC system, you will see a menu bar on the left side of the screen that allows for navigation. To enter your Annual Goals and Budget Information, select **Data Entry** from either the left menu or the main screen area of the navigation screen.

Annual Goals and Budget Information is entered in the **Annual Goals and Budget** section of the TRAC system.

STEP 2: SELECT PROGRAM(S) OR GRANT(S)

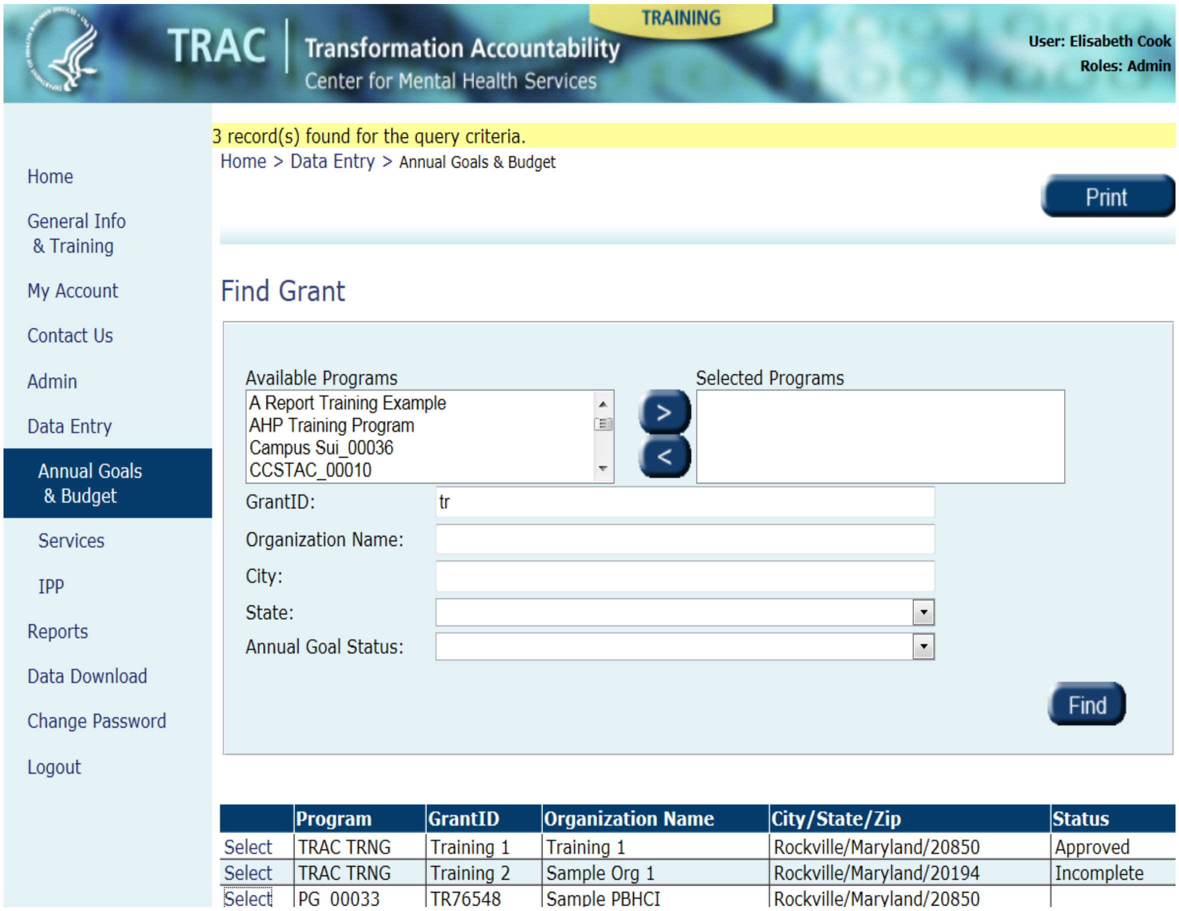
If you have access to multiple grants, you will see the **Find Grant** screen. If you leave the Find Grant form blank and select the **Find** button, the system will display a list of all grants you have access to.

Other ways to find a grant:

- To search by program, click on the program name in the left box and then click on the “>” button to move the desired program from the **Available Programs** side to the **Selected Programs** side. If the incorrect program was chosen, click the “<” button to move it back. After your program(s) has been selected, click the Find button at the bottom of the screen and the appropriate grant(s) appear in the grant list.

- You can also search for a grant by Grant ID, Organization Name, City and/or State, by entering information you know into the appropriate boxes, then clicking on the Find button. The TRAC system will list all records that matched the criteria you entered.

Next, select the grant you want to enter the Annual Goals and Budget information for.



STEP 3: ENTER YOUR GOALS

Based on the grant you select, the TRAC system will display only the goals that are required. After completing a section, click on the **Save** button at the top of each screen. It is not necessary to complete all Annual Goals and Budget sections in one sitting; you can save your work and return to complete them later.

NOMS CLIENT-LEVEL MEASURES (SERVICES ACTIVITIES) GOALS

This section only applies to grants that provide data on a program's Services Activities (see Appendix A: TRAC Activities by CMHS Program for a list). The TRAC system will display each grant year in the grant's performance period.

For every grant year, enter the number of consumers that you plan to serve. Enter a zero (0) if you think your grant will not serve any consumers in a given grant year. Any blanks that you leave will be interpreted as missing data, not as a zero (0).

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

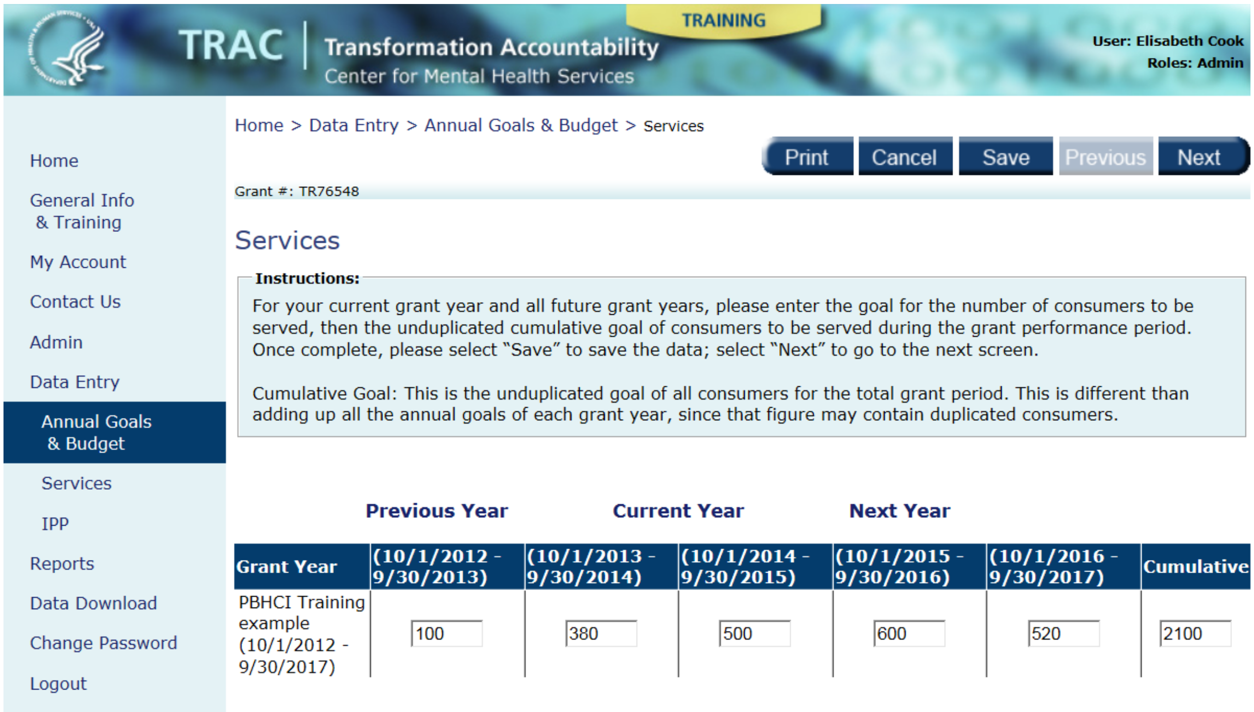
- A grant that plans to serve the same 10 consumers every year for 5 years would enter 10 for each of the 5 grant years.
- A grant that plans to serve 10 different consumers every year for 5 years would also enter 10 for each of the 5 grant years.

Also enter the cumulative unduplicated number of consumers to be served during the entire performance period of your grant. If you plan to serve the same consumers in different years, 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.

Five grant years are displayed on the screen. If your grant has more than 5 years, click on the hyperlinks labeled **Previous Year**, **Current Year**, and **Next Year** to navigate to the other years.

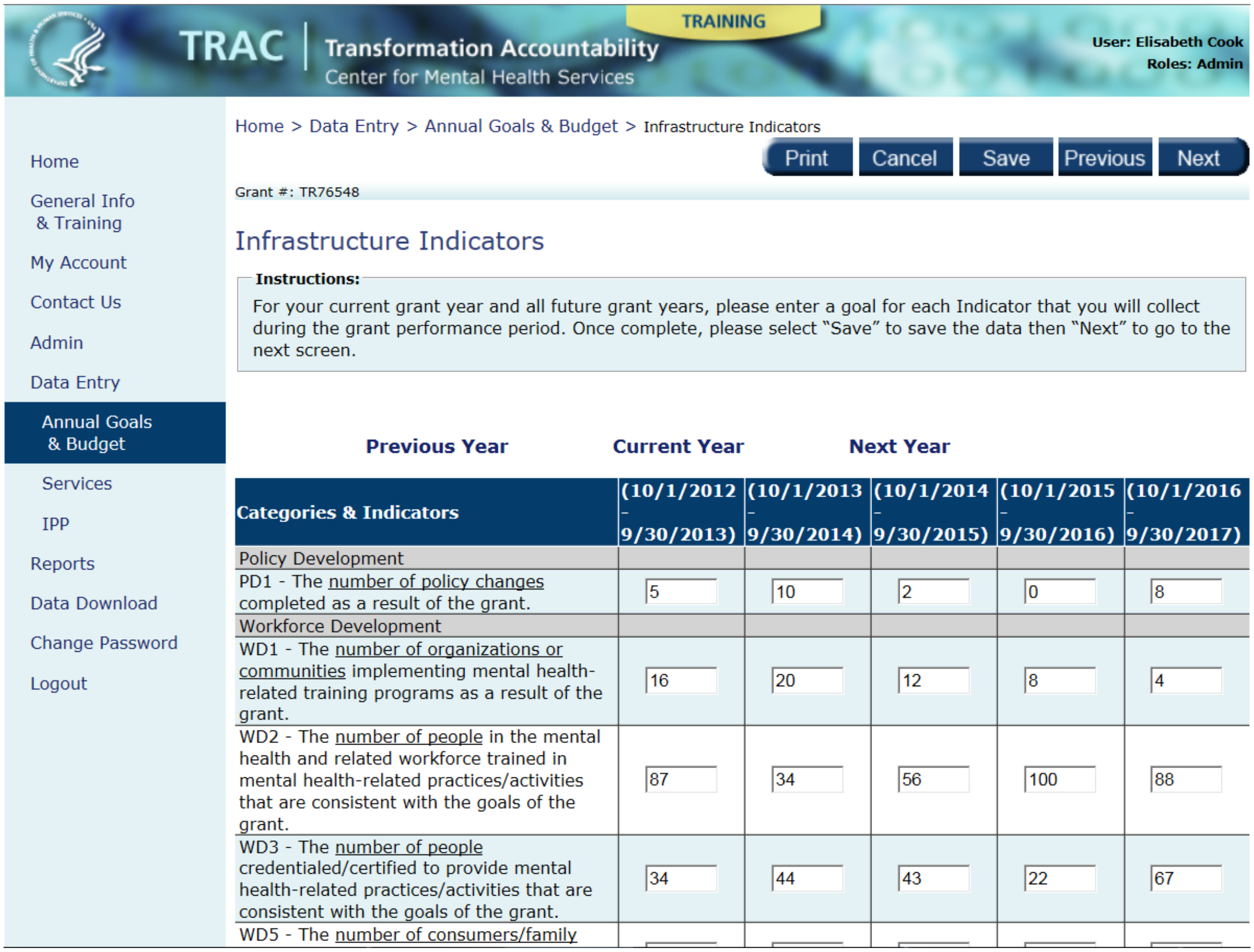
Please note: After you have entered your Services Activities goals, click the Save button at the top of the screen. If you do not click the Save button, your goals will not be saved in the system. Click on the **Next** button to move to the next applicable screen.



INFRASTRUCTURE DEVELOPMENT INDICATOR GOALS

This section only applies to grants that provide data on infrastructure activities (see Appendix A: TRAC Activities by CMHS Program for a list). 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 B: IPP Indicators for indicator definitions). If you need additional information on indicator intent, key points, examples and definitions, please refer to the IPP Overview of Indicators Guide.

For each grant year, enter a goal for each required infrastructure indicator. Enter a zero (0) if you think your grant will not conduct one of the activities given grant year. Any blanks that you leave will be interpreted as missing data, not as a zero (0). For additional guidance on setting these goals, please refer to Appendix C: Setting IPP Goals.



Unlike the Services Activities goals, you do not need to enter a cumulative goal for infrastructure indicators.

Five grant years are displayed on the screen. If your grant has more than 5 years, click on the hyperlinks labeled Previous Year, Current Year, and Next Year to navigate to the other years.

Please note: 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.

Prevention and Mental Health Promotion Indicator Goals

This section only applies to grants that provide data on mental illness prevention and mental health promotion activities (see Appendix A: TRAC Activities by CMHS Program for a list). 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 B: IPP Indicators for indicator definitions). If you need additional information on indicator intent, key points, examples and definitions refer to the IPP Overview of Indicators Guide.

For each grant year, enter a goal for each required prevention and mental health promotion indicator. Enter a zero (0) if you think your grant will not conduct one of the activities in a given grant year. Any blanks that you leave will be interpreted as missing data, not as a zero (0). For additional guidance on setting these goals, see Appendix C: Setting IPP Goals.

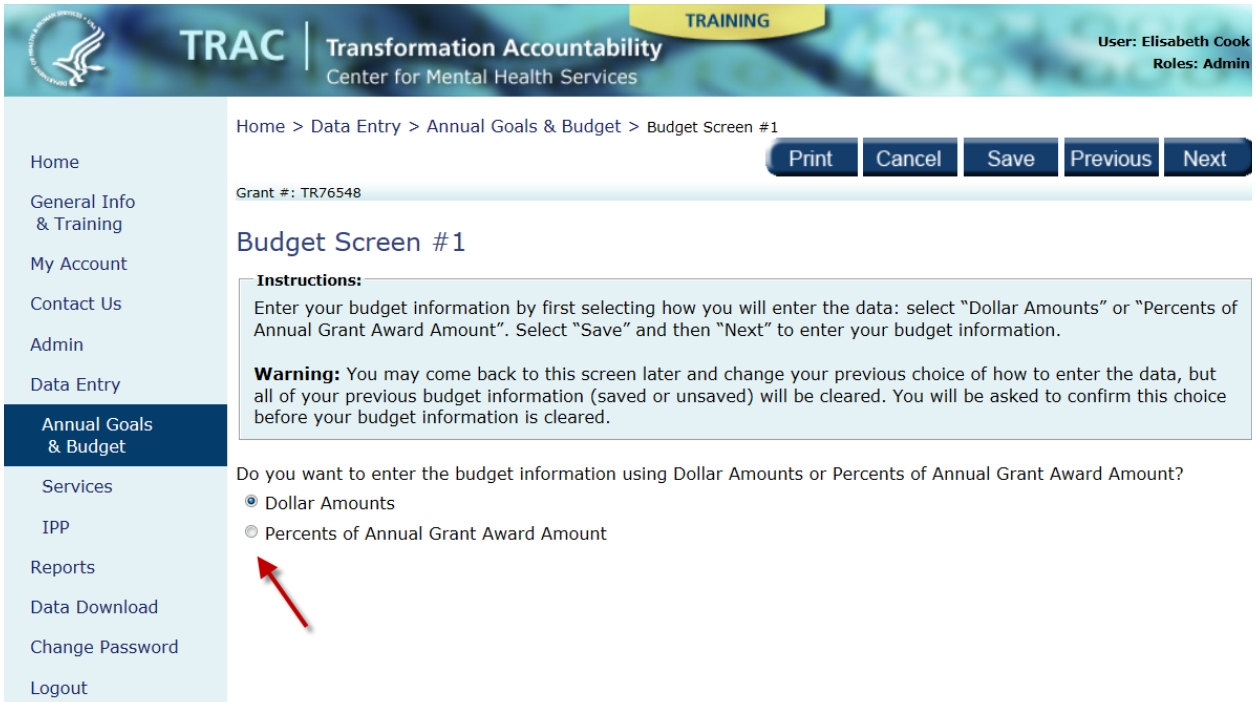
Unlike the Services Activities goals, you do not need to enter a cumulative goal for prevention and mental health promotion indicators.

Five grant years are displayed on the screen. If your grant has more than 5 years, click on the hyperlinks labeled Previous Year, Current Year, and Next Year to navigate to the other years.

Please note: After you have entered your prevention and mental health promotion 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.

STEP 4: ENTER YOUR BUDGET INFORMATION

The budget screen follows the annual goals screens. On the first screen, indicate how you plan to enter your budget data by selecting either **Dollar Amounts** or **Percent of Annual Grant Award Amount**. Click on the Next button to move to the select budget entry screen.

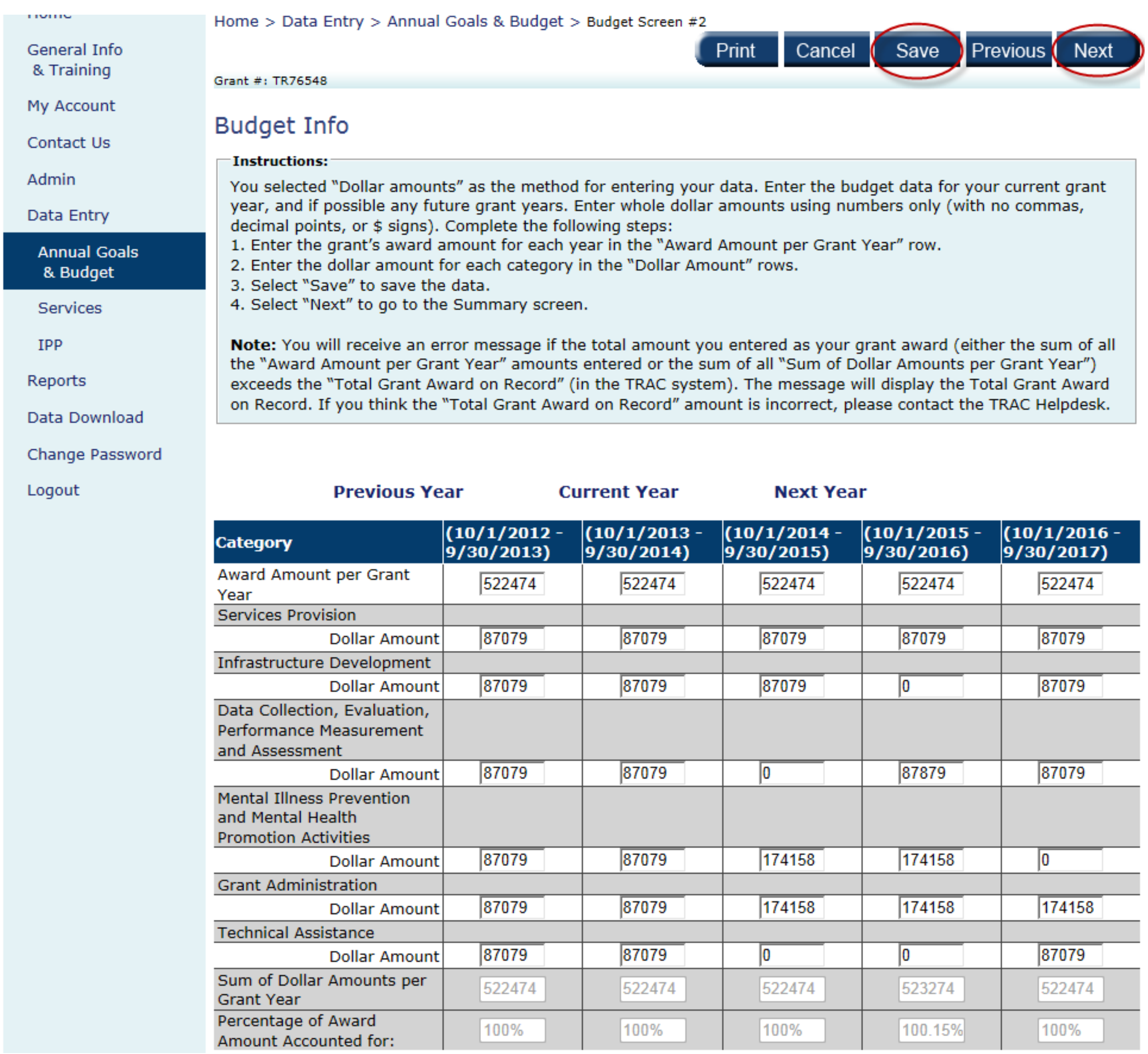


Note: You may come back to this screen later and change your choice of either dollars or percents. However, all of your previous budget information (saved or unsaved) will be cleared.

BUDGET BY DOLLAR AMOUNTS

Enter whole dollar amounts using numbers only. Enter the budget for your current grant year and any future grant years, as described below.

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; categories are explained below.
3. Click on Save at the top of the screen to save your data
4. Click on Next at the top of the screen to go to the **Summary** screen.


Home

General Info & Training

My Account

Contact Us

Admin

Data Entry

Annual Goals & Budget

Services

IPP

Reports

Data Download

Change Password

Logout

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

Print | Cancel | Save | Previous | Next

Grant #: TR76548

Budget Info

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	**(10/1/2012 - 9/30/2013)**	**(10/1/2013 - 9/30/2014)**	**(10/1/2014 - 9/30/2015)**	**(10/1/2015 - 9/30/2016)**	**(10/1/2016 - 9/30/2017)**
Award Amount per Grant Year	522474	522474	522474	522474	522474
Services Provision					
Dollar Amount	87079	87079	87079	87079	87079
Infrastructure Development					
Dollar Amount	87079	87079	87079	0	87079
Data Collection, Evaluation, Performance Measurement and Assessment					
Dollar Amount	87079	87079	0	87879	87079
Mental Illness Prevention and Mental Health Promotion Activities					
Dollar Amount	87079	87079	174158	174158	0
Grant Administration					
Dollar Amount	87079	87079	174158	174158	174158
Technical Assistance					
Dollar Amount	87079	87079	0	0	87079
Sum of Dollar Amounts per Grant Year	522474	522474	522474	523274	522474
Percentage of Award Amount Accounted for:	100%	100%	100%	100.15%	100%

Note that dollar amounts should include <u>all</u> direct costs plus any indirect costs associated with an activity.

- Direct costs can include items like salaries, fringe benefits, travel, equipment, and supplies.
- 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.

Please note: 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.

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** row when you click on the Save button.

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.

Error messages

When entering your budget by dollars, the system will display an error message if one of the following occurs:

- One or more of your Sum of Dollar Amounts per Grant Year fields exceed the corresponding Award per Grant Year total
- The sum of all Award Amount per Grant Year exceeds the Total Grant Award

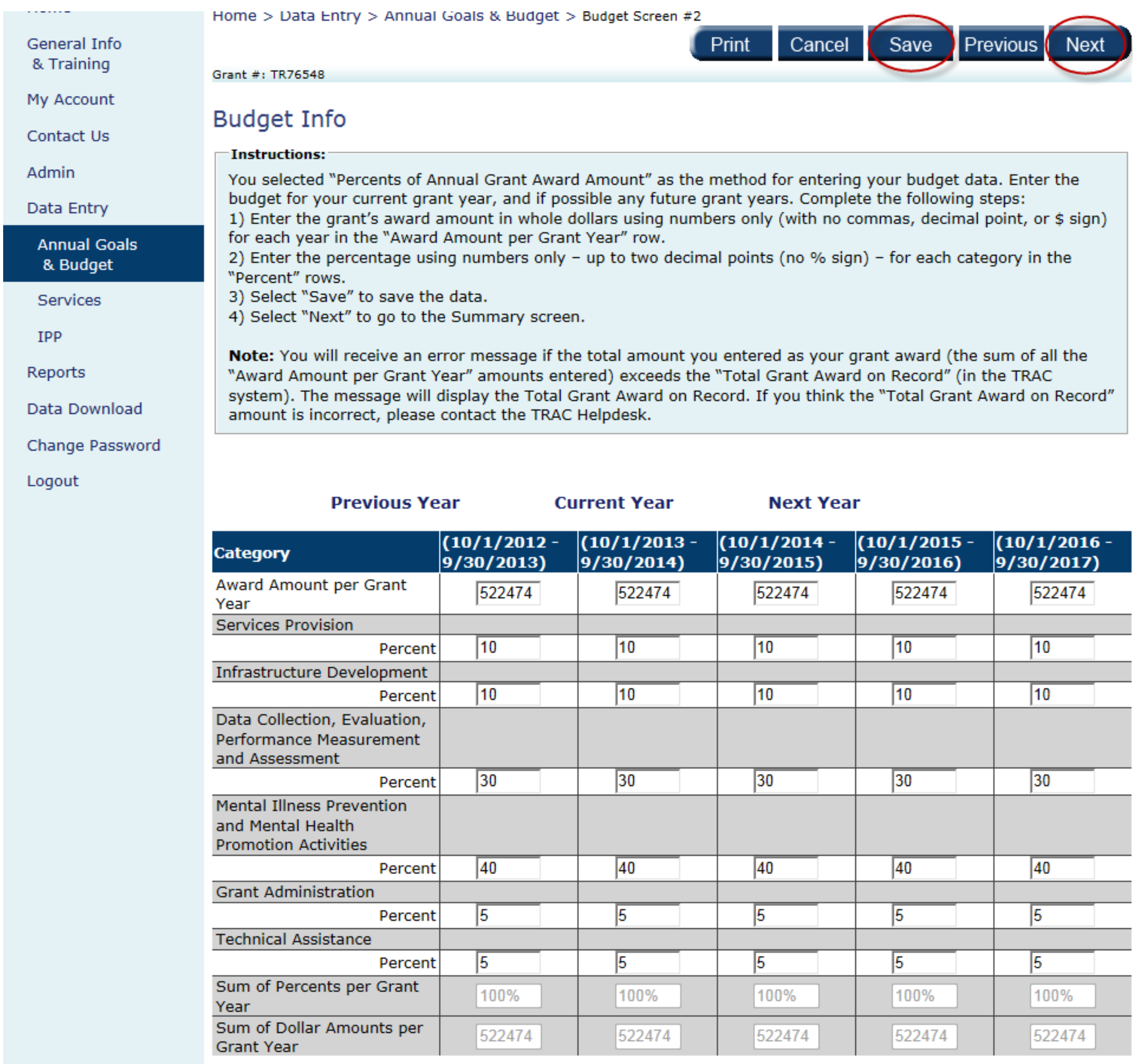
You will need to correct the error(s) before you can move to the next screen

Five grant years are displayed on the screen. If your grant has more than 5 years, click on the hyperlinks labeled Previous Year, Current Year, and Next Year to navigate to the other years.

Budget by Percent

Enter your budget for your current grant year and any future years. As the instruction on the screen directs, 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 percentage using numbers only and up to two decimal points for each category in the Percent rows.
3. Click on the Save button to save your data.
4. Click on the Next button to go to the Summary screen.



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

Print | Cancel | Save | Previous | Next

Grant #: TR76548

General Info & Training
My Account
Contact Us
Admin
Data Entry
Annual Goals & Budget
Services
IPP
Reports
Data Download
Change Password
Logout

Budget Info

Instructions:

You selected "Percents of Annual Grant Award Amount" as the method for entering your budget data. Enter the budget for your current grant year, and if possible any future grant years. Complete the following steps:
1) Enter the grant's award amount in whole dollars using numbers only (with 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.

	Previous Year	Current Year	Next Year		
Category	**(10/1/2012 - 9/30/2013)**	**(10/1/2013 - 9/30/2014)**	**(10/1/2014 - 9/30/2015)**	**(10/1/2015 - 9/30/2016)**	**(10/1/2016 - 9/30/2017)**
Award Amount per Grant Year	522474	522474	522474	522474	522474
Services Provision					
Percent	10	10	10	10	10
Infrastructure Development					
Percent	10	10	10	10	10
Data Collection, Evaluation, Performance Measurement and Assessment					
Percent	30	30	30	30	30
Mental Illness Prevention and Mental Health Promotion Activities					
Percent	40	40	40	40	40
Grant Administration					
Percent	5	5	5	5	5
Technical Assistance					
Percent	5	5	5	5	5
Sum of Percents per Grant Year	100%	100%	100%	100%	100%
Sum of Dollar Amounts per Grant Year	522474	522474	522474	522474	522474

The system will calculate and provide a dollar amount for each category, the Sum of Percents row, and the Sum of Dollar Amounts row when you select the Save button.

Error messages

When entering your budget by dollars, the system will display an error message if one of the following occurs:

- Your percentages do not sum to 100%, the TRAC system will alert you so you may check your numbers. You can continue if your numbers do not sum to 100% by clicking on the Next button again.
- The Sum of Percents is greater than 100% in one or more grant years or the sum of all Award Amount per Grant Year exceed the Total Grant Award the system will display an error message. This error must be corrected before you can move to the next screen.

Five grant years are displayed on the screen. If your grant has more than 5 years, click on the hyperlinks labeled Previous Year, Current Year, and Next Year to navigate to the other years.

Please note: 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.

General Budget Information Instructions

Whether you enter your budget information as dollar amounts or percent of annual award amount, you are required to enter budget information for each year of your grant – the current grant year and future years. Based on the structure and goals of your program or project, you may have very similar cost estimates for each year, or they may vary substantially from year to year.

Focusing on one grant year at a time, consider your activities within each category, and estimate the dollars (or the percentage of total dollars per grant year) that you plan to spend on each type of activity during each year. For this exercise, CMHS does not expect you to provide a detailed accounting by cost or category. Instead, provide a ballpark estimate of approximately how much of your budget will be spent on each category. The percentages or total dollars should add up to 100% per grant year.

Exception for Technical Assistance Grants and Contractors: Your grant/contract may include substantial activities falling outside of the given categories (i.e., product development); therefore your percentage total may be substantially lower than 100%.

Enter your budget information for each type of activity listed below. Enter a 0 if your grant does not participate in an activity. If your grant participates in an activity but you do not have complete information at the time you are entering your data, you may leave the data field blank.

- **NOMs Client-level Measures (Service Activities):** Those data for which you collect data under the Services Activities module. The grant announcements for programs that include direct client service activities typically define the types of services allowable under the grant and the percentage of grant funds that can or must be expended on services. Grant Application Review criteria typically require you to state in your application how many clients will be served over the life of the grant.

- **Infrastructure Development:** Infrastructure development activities are those activities in which you engage in order to accomplish infrastructure goals consistent with the TRAC IPP indicators. Activities which are consistent with any of the TRAC infrastructure indicators count as infrastructure activities, <u>even if you are not required</u> to report data on infrastructure indicators into TRAC for your program. The grant announcements for programs that include infrastructure development activities typically define the types of infrastructure development activities allowable under the grant and the percentage of grant funds that can or must be expended on infrastructure development.

- **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 you expend to collect and utilize data *to demonstrate or improve the effectiveness of your project*. Grant announcements typically include sections that describe the data collection requirements for Government Performance and Results Modernization Act (GPRAMA) reporting, evaluation, performance assessment, and TRAC, and define the percentage of grant funds that can or must be expended on these activities. Grant Application Review criteria typically require you to describe your data collection, evaluation, and performance assessment plans in your application.

- **Mental Illness Prevention and Mental Health Promotion Activities** are activities in which you engage in order 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 count as prevention and mental health promotion activities, even if you are not required to report data on these indicators into TRAC for your program.

- **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).

- **Grant Administration** refers to general activities required for the overall management and administration of the project. Examples of administration items would include time and resources to prepare quarterly reports, attend grantee meetings, prepare continuation applications, reconcile grant budgets, review and manage timelines, etc.

If you need additional assistance determining how your particular grant activities should be categorized, contact your GPO.

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.

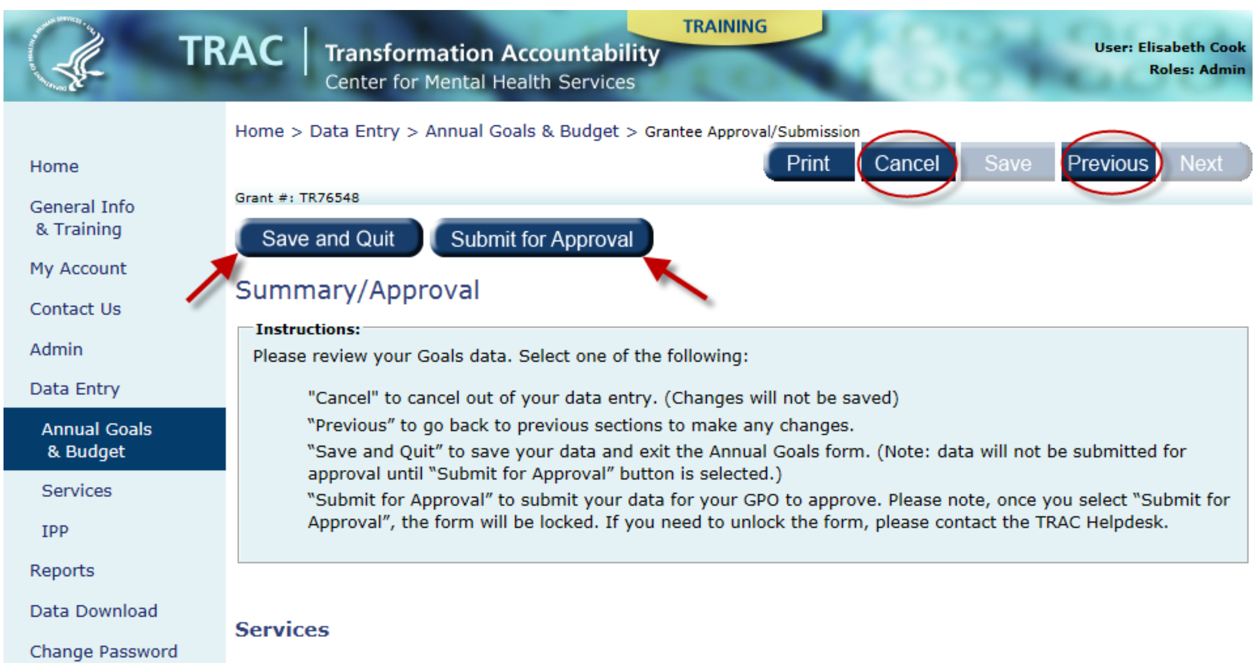
SECTION F: SUMMARY AND SUBMIT FOR APPROVAL

Once all goals and budget information are entered for a particular grant, the system will display the Summary/Approval screen. This screen provides a summary of all the goals and budget information entered for that grant.

Review the data for accuracy. If you need to edit any particular screen, click on the **Previous** hyperlink at the top of the screen to go back the appropriate screen(s). If you make any edits, be sure to click on the Save button before returning to the **Summary/Approval** screen.

If you are not ready to submit your data for approval, click on the **Save and Quit** button. This button will save your data and take you back to the main Data Entry screen.

When you are ready to Submit your goals and budget information for approval by your GPO, click the **Submit for Approval** button located on the left side of the screen above the Summary/Approval table. This button will only be enabled when all your required goals are recorded and saved in the TRAC system. Once you click on the Submit for Approval button the screen will be locked and you will not be able to further edit your annual goals or budget information.



GPO REVIEW PROCESS

After the Annual Goals and Budget submission deadline, your GPO will review the information you have submitted. An email will be sent to you when the GPO either agrees or disagrees with any of the information you have submitted.

Once you have received notification of a GPO disagreement, you can go into the TRAC system and view the item as well as any applicable GPO comments. Once you review, you should edit the information, and then select the Submit for Approval button again to resubmit your Annual Goals and Budget Information.

Prevention and Mental Health Promotion 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 select "Next" to go to the next screen.

Fields marked with an asterisk (*) and highlighted yellow indicate information that requires revision or review; please discuss this with your GPO for further clarification, if needed.

Previous Year | Current Year | Next Year

Categories & Indicators	(9/30/2008 - 9/29/2009)	(9/30/2009 - 9/29/2010)	(9/30/2010 - 9/29/2011)		
Training					
TR1 - The number of individuals who have received training in prevention or mental health promotion.		* Agree Disagree	200 Agree Disagree		
Screening					
S1 - The number of individuals screened for mental health or related interventions.		* Agree Disagree	15 Agree Disagree		
Outreach					
O1 - The number of individuals contacted through program outreach efforts.		* Agree Disagree	100 Agree Disagree		
O2 - The total number of contacts made through program outreach efforts.		* Agree Disagree	100 Agree Disagree		
Referral					
R1 - The number of individuals referred to mental health or related services.		* Agree Disagree	5 Agree Disagree		

You must submit goals for the FY2010 year.

Budget Info

Instructions:
You selected "Percents of Annual Grant Award Amount" as the method for entering your budget data. Enter the budget for your current grant year, and if possible any future grant years. Complete the following steps:
1) Enter the grant's award amount in whole dollars using numbers only (with 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.

Fields marked with an asterisk (*) and highlighted yellow indicate information that requires revision or review; please discuss this with your GPO for further clarification, if needed.

	Previous Year	Current Year	Next Year		
Category	**(9/30/2008 - 9/29/2009)**	**(9/30/2009 - 9/29/2010)**	**(9/30/2010 - 9/29/2011)**		
Award Amount per Grant Year	415339 Agree Disagree	403975 Agree Disagree	415238 Agree Disagree		
Services Provision					
Percent	64.00 Agree Disagree	64.00 Agree Disagree	64.00 Agree Disagree		
Infrastructure Development					
Percent	24.00 Agree Disagree	24.00 Agree Disagree	24.00 Agree Disagree		

SECTION G: UPDATING YOUR ANNUAL GOALS AND BUDGET INFORMATION

Annually, you will have the opportunity to unlock and update annual goals and budget information. If the information you have entered into the TRAC system under Annual Goals and Budget Information is in a status of **Update and Resubmit**, or **Approved**, you will be able to unlock the information for the current and future grant years to make revisions as necessary.

If your information is able to be unlocked you will see the below screen. If your information is in a **Ready for Approval** status for the first time, you should unlock all fields. You may only unlock the information once a year during a designated timeframe.

If you are a new grantee or did not fully complete the Annual Goals and Budget Information process last year, you will not see the screen below. Instead, you will be taken directly to the data entry screens where you can complete your edits or updates.

Please note that if you unlock your information, your GPO will have to review and approve it, even if you do not make revisions. Therefore, it might be a good idea to first review your information and unlock it only if you need to make changes.

If you click "**No, I want to review my data**" you will be taken to the first data entry screen in a read-only mode. Once you have reviewed your data, you may come back to this screen and unlock the information later if needed.

If you click "**Yes, unlock my Annual Goals and Budget Information**", you will be taken to the warning screen shown below.

If you click **No** on this screen you will just see the screens in read only mode.

If you click **Yes** you will be taken to the data entry screens with the current and future year fields editable. Please note:

- Any information that was set to **Disagree** by your GPO from previous years will be highlighted in yellow and editable.

LOG OUT

To exit the TRAC system, click **Logout** in the left menu. You will return to the main TRAC screen.

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.

ACCESSING HELP

For technical support or questions about TRAC, please contact the TRAC Help Desk, located at Westat.

Telephone: 1-888-219-0238
Email: TRACHELP@westat.com
Hours: M-F 8:30 AM – 7:00 PM (EST/EDT)

APPENDIX A: TRAC ACTIVITIES BY CMHS PROGRAM

The sections below list the TRAC Activities that various CMHS Programs participate in. A program may be listed under multiple activities.

NOMs Client-level Measures for Discretionary Programs Providing Direct Services (Services Activities)

The following programs provide Services Activities in TRAC:

- Comprehensive Community Mental Health Services for Children and their Families Program (CMHI)
- Healthy Transitions Initiative
- Jail Diversion TCE grants
- Mental Health HIV Services Collaborative (MHHSC) Projects
- Mental Health Transformation Grants (MHTG)
- Minority AIDS Initiative – TCE grants
- NCTSI-TX Community Treatment Centers (Cat. III)
- Older Adults Targeted Capacity Expansion (TCE) grants
- Primary and Behavioral Health Care Integration grants
- Services in Supportive Housing (SSH) grants

Infrastructure Development, Prevention and Mental Health Promotion (IPP)

The following programs provide <u>Infrastructure Development</u> data in TRAC:

- Circles of Care (COC) grants
- Comprehensive Community Mental Health Services for Children and their Families Program (CMHI)
- Garrett Lee Smith Campus Suicide Prevention Grant Program
- Garrett Lee Smith State/Tribal Suicide Prevention Grant Program
- Healthy Transitions Initiative
- Historically Black Colleges & Universities National Resource Center (HBCU-NRC)
- HIV Training Contracts
- Implementing Evidence-Based Prevention Practices in Schools (PPS)
- Jail Diversion TCE grants
- Linking Actions for Unmet Needs in Children's Mental Health (Project LAUNCH)
- Mental Health Transformation Grants (MHTG)
- Minority AIDS Initiative – TCE grants
- Minority Fellowship Program (MFP)
- National Suicide Prevention Lifeline (1-800-273-TALK)
- National Technical Assistance Center for Child and Adolescent Mental Health
- Native Aspirations
- NCTSI-TSA Treatment & Service Centers (Cat. II)

- NCTSI-TX Community Treatment Centers (Cat. III)
- NCTSN National Coordinating Center (Cat. I)
- Primary and Behavioral Health Care Integration grants
- Primary and Behavioral Health Care Integration TA
- State Mental Health Data Infrastructure Grants for Quality Improvement (DIG)
- Statewide Consumer Network Grants
- Statewide Family Networks Program
- Suicide Crisis Center FUP Grants
- Suicide Prevention Resource Center (SPRC)
- System of Care Expansion Planning Grants
- System of Care Expansion Implementations Grants

Infrastructure Development, Prevention and Mental Health Promotion (IPP)

The following programs provide Prevention and Mental Health Promotion data in TRAC:

- Garrett Lee Smith Campus Suicide Prevention Grant Program
- Garrett Lee Smith State/Tribal Suicide Prevention Grant Program
- Historically Black Colleges & Universities National Resource Center (HBCU-NRC)
- Implementing Evidence-Based Prevention Practices in Schools (PPS)
- Jail Diversion TCE grants
- Linking Actions for Unmet Needs in Children's Mental Health (Project LAUNCH)
- Mental Health Transformation Grants (MHTG)
- Minority AIDS Initiative – TCE grants
- National Suicide Prevention Lifeline (1-800-273-TALK)
- Native Aspirations
- NCTSI-TSA Treatment & Service Centers (Cat. II)
- NCTSI-TX Community Treatment Centers (Cat. III)
- NCTSN National Coordinating Center (Cat. I)
- Older Adults Targeted Capacity Expansion (TCE) grants
- Primary and Behavioral Health Care Integration grants
- Services in Supportive Housing (SSH) grants
- Statewide Consumer Network Grants
- Suicide Crisis Center FUP Grants
- Suicide Prevention Resource Center (SPRC)
- System of Care Expansion Implementations Grants

APPENDIX B: IPP INDICATORS

The following table includes all IPP indicator definitions. 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

APPENDIX C: SETTING IPP GOALS

1. The purpose of establishing TRAC goals is to *quantify what you were already planning* to accomplish with your SAMHSA grant or contract. The purpose is NOT to make you add new activities beyond your original proposal. Therefore, begin the TRAC goal-setting exercise by reviewing your previous plans to the grant or contract before you even look at the IPP indicators selected for your program.

2. Start with your most recent grant application or contract work plan. If you have modified your plans with the approval of your GPO since your last formal application or work plan, incorporate the approved modifications into your calculations.

3. What did you say you were going to do over the coming grant/contract year?

4. Which IPP indicator applies to each infrastructure change and prevention or promotion activity you have planned?

5. If the change or activity does not fit under any of the IPP indicators selected for your program, then you should still do it – you just will not be reporting on it through TRAC.

6. For each IPP indicator selected for your program, count up the number of changes/activities you have planned for the coming grant/contract year. That is your goal for the year.

7. Repeat steps 1-5 for each future year of your grant/contract.

8. If you need help knowing which indicator applies to specific planned changes/activities, talk to your GPO and/or the TRAC Help Desk.

9. Once you enter your goals into TRAC, your GPO will review and approve them. Be prepared to justify your goals to your GPO (e.g., provide short descriptions of changes/activities that comprise the goals for each indicator).

10. Your GPO will review and approve your goals based on consistency with SAMHSA's goals for the program, your original grant application (or contract work plan), and any other guidance you have received from them about the direction of your project (including approved modifications).

11. If you do not have any changes/activities planned for a particular indicator selected for the program, your goal will be 0. Depending on the structure and goals of the program and your specific project, your GPO can approve a goal of 0. You will need to enter "No New Results" into TRAC each quarter for indicators with a goal of 0. If your GPO-approved goal is 0, then the GPO must approve your "No New Results" entries. As long as your GPO approves, there will be no negative consequences of having a goal of 0 and "No New Results" for a particular indicator.

12. You may find that your grant application (or contract work plan) was not specific enough to be able to quantify goals. If such is the case for the current grant/contract year, then you must more specifically plan out your infrastructure changes and prevention and promotion activities for the year before you can establish your TRAC goals. You may be less certain of goals for future years of the grant/contract because a future change/activity depends on the accomplishment of earlier year changes/activities, or for other reasons. Nevertheless, you must make your best estimate of what you will reasonably be able to accomplish throughout the life of the grant/contract. If you feel in later years that your goals should be changed due to unforeseen circumstances, you will have to obtain your GPO's approval to revise them.