SAMHSA's Performance Accountability and Reporting System (SPARS)

Center for Mental Health Services (CMHS)

Annual Goals Review Process

GUIDE FOR CMHS STAFF

CMHS

Center for Mental Health Services SAMHSA October 2020

SPARS Version 4.0

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GENERAL OVERVIEW PURPOSE OF THIS DOCUMENT

This guide provides instructions for Government Project Officers (GPOs) on how to use the Substance Abuse and Mental Health Services Administration's (SAMHSA's) Performance Accountability and Reporting System (SPARS) to review Annual Goals information submitted by Center for Mental Health Services (CMHS) grantees. SPARS provides a platform for grantees to enter, review, and update their annual performance goals, as required by CMHS.

Grantees are required to set annual performance goals for all of their grant years for all Infrastructure Development, Prevention, and Mental Health Promotion (IPP) indicators and one Services indicator. As the GPO, you will review the annual performance goals 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, and any other guidance (including approved modifications) you have provided to your grantees.

This guide will walk through how to access the online Annual Goals Information GPO Approval screen, how to agree or disagree with the information provided by each grantee, how to insert comments, and how to submit the data to SPARS.

OVERVIEW OF ANNUAL GOALS REPORTING REQUIREMENTS

Grantees set SPARS annual goals as required by their grant Funding Opportunity Announcement (FOA) and Notice of Award (NoA). The following are the general steps taken by grantees to establish their SPARS annual goals and the corresponding role for the GPO.

New grantees are required to do the following within 90 days after grant award:

- Set SPARS annual goals for each indicator and each grant year that are required for the grant program and/or grantee program cohort.
- Enter goals into SPARS for all IPP indicators for the grant program and for one Services indicator (as required). An annual goal must be set for every indicator for each grant year.
- **Review for accuracy all Annual Goals and make any necessary edits**. Once data entry is complete, submit Annual Goals information for GPO review and approval.
- Await feedback via email from SPARS on whether the GPO approves or disapproves and then requests revisions. If the GPO disapproves and then requests

revisions, the grantee must go back into SPARS, review the GPO comments, make revisions, and resubmit for GPO review.

• Annually review and make revisions, as necessary, to Annual Goals during the first quarter of each Federal Fiscal Year (FFY, October–December) for the current grant year and/or future grant years. GPOs have the second quarter (January–March) to review any changes and to request further edits. The Annual Goals module locks to further editing by the grantee on April 1.

Annual update period:	Grantees enter any updates by:	GPO review and any grantee edits completed by:	System will lock on:
October 1– December 31	December 31	March 31	April 1

Grant Project Directors are provided instruction regarding how to set their goals in the <u>Annual</u> <u>Goals Information Guide for Grantees</u>. This Guide can be found under the CMHS link of the SPARS Resource Library.

SECTION A: KEY TERMS

This section presents brief definitions of terms used throughout the *Annual Goals Review Process Guide*.

Annual Goal (*for Services activities*): The number of consumers that will receive direct services that are impacted by CMHS grant funds in a given grant year.

Annual Goal (*for Infrastructure Development, Prevention, and Mental Health Promotion [IPP] activities*): Varies depending on the IPP indicators that are required by a grant program.

Consumer: A person who is actively in treatment with a CMHS-funded program. Consumers are also occasionally called *clients* or *patients*.

Federal Fiscal Year (FFY): 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 is commonly referred to as "FFY." For example, FFY 2021 began October 1, 2020, and ends September 30, 2021.

Grant Year: A 12-month period that is specific to a grant program and/or grant program cohort. The grant year 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 30, 2020, began its first grant year on September 30, 2020, and ended September 29, 2021.

Infrastructure Development, Prevention, and Mental Health Promotion (IPP): Grantfunded activities pertaining to infrastructure development, prevention of mental illness, and promotion of mental health.

IPP Categories and Indicators: CMHS program leads designate the IPP indicators that grantees report data in SPARS on an FFY quarterly basis. IPP indicators are organized by category (e.g., Policy Development, Workforce Development). See Appendix A, "IPP Indicators," for a list of categories and indicators.

Services Activities: Grant-funded provision of treatment, or direct services, to consumers.

SECTION B: REVIEWING GRANTEE ANNUAL GOALS

A grantee is required to set annual goals for what it intends to achieve for each grant year. The grantee must set Annual Goals only for indicators required by the grant program, based on whether the grant funds IPP activities, Services activities, or both. Grants that engage in IPP activities estimate annual goals only for the IPP indicators required by SAMHSA.

STEP 1: NAVIGATE TO THE ANNUAL GOALS REVIEW SCREEN

To review a grantee's submitted annual goals, you will first need to log into SPARS and navigate to the Annual Goals screens within CMHS Data Entry.

The web address for SPARS is <u>https://spars.samhsa.gov/</u>. Creating a bookmark enables easy access to the website. Click **SPARS-CMHS** under the **Quick Links** section of the SPARS home page to get started.

	SPARS	Search	
	Home	Data Entry & Reports Training Technical Assistance	Help
- We	elcome to SPARS!		
SA	MHSA's Performance Accountability and	Reporting System	
	A REAL PROPERTY AND A REAL AND A	MESALIS DIOUO IO JAUDED THE SPARS WEDSITE SPARS IS A NEW ODIDE	
nn	entry, reporting, technical assistance request, and training system	Quick Links	
Inta Iata	OUNCEMENTS OUNCEMENTS OUNCEMENTS New CSAP and CSAT Data Visualization Improvements Released on August 31, 2020 Improvements to the CSAP and CSAT data visualizations were released on August 31.	Quick Links SPARS CSAT Enter data for Center for Substance Abuse Treatment grants.	
nn III	OUNCEMENTS OUNCEMENTS New CSAP and CSAT Data Visualization Improvements Released on August 31, 2020 Improvements to the CSAP and CSAT data visualizations were released on August 31. Service Impact: Microsoft August Security Patch Updates SPARS will be impacted on August 21st, starting at 5:30pm EST, by SAMHSA patching servers.	Quick Links Quick Links SPARS-CSAT Enter data for Center for Substance Abuse Treatment grants. SPARS-CMHS Enter data for Center for Mental Health Services grants.	

Alternatively, from the SPARS home page, select the **Data Entry & Reports** tab. Hover over **for CMHS Users**, and click on **CMHS Data Entry**.

At this point, you will be prompted to log into SPARS if you have not already done so.

SPARS	Search	SAMHSA.go
	Home Data Entry & Report	s Training Technical Assistance Help
- for - CSAT Users	- for - CMHS Users	- for - CSAP Users
CMHS Users		
Select and click on one of the butto download your data, or run reports	ons below to access data entry tools, or using your data.	
CMHS Data Entry	CMHS Data Download CMHS Report	rts
		Q Search Data Collection

To navigate to the Annual Goals section of the SPARS CMHS page from the main screen, click on **Data Entry**, then click **Annual Goals**, and you will be taken to the Annual Goals Data Entry page.



CMHS has developed indicators to collect performance data about grantees' Infrastructure Development, Prevention, and Mental Health Promotion (IPP) activities. Using this system, Federal Program Directors can view and/or select which IPP Indicators their program(s) collect, grantees enter IPP Indicator results and can view and/or edit existing results, and Government Project Officers (GPOs) can view the grantees' results.

STEP 2: SELECT A PROGRAM AND GRANT

On the **Find Grant** screen, select the program(s) in the **Available Programs** box, and click on ">" to add your program(s) to the **Selected Programs** box.

SI SI	PARS	Center for Mental Health Services	User: Roles: Admin
Annual Goals			
Home > Data Entry > Annua	l Goals		🖨 Print
 My Grants Admin 	Find Grant (OMB Number: 0930-0285	Expiration Date: 02/28/2022)	
→ Data Entry	Available Programs	Selected Programs	
Annual Goals Services	ACT AOT AWARE-COM AWARE-LEA		•
▶ IPP			
→ Data Download	GrantID:		
	Organization Name:		
	City:		
	State:	~	
	Annual Goal Status:	~	
	Grant Status:	Show Current Records	
			Find

Click on the **Find** button to see a list of grants that you have access to for the program(s) that you have selected. If you leave the **Find Grant** form blank and select the **Find** button, the system will display a list of all grants to which you have access.

You can also search by Grant ID, Organization Name, City, State, Annual Goal Status, and Grant Status 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 **Selected Programs** or **Annual Goal Status**.

To search by **Annual Goal Status** from the Find Grant screen, 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 grants to which you have access for the corresponding annual goal status that you selected.

SI SI	PAR	S Center for	r Mental Health Services	
Annual Goals				
łome > Data Entry > Annua	il Goals			🖨 Print
→ My Grants	Find Grant (OMB Number: 0930-028	5; Expiration Date: 02/28/20)22)	
Admin Data Entry Annual Goals Services	Available Programs ACT AOT AWARE-COM AWARE-LEA		Selected Programs	
 IPP Data Download 	GrantID: Organization Name: City: State:			
	Annual Goal Status: Grant Status:	 N/A No Data Entered Incomplete Ready For Approval Update and Resubmit for Approved 	¢ ¢	Find

Annual Goals Status Definitions

- Blank/Empty: Default setting for this field.
- N/A: Not applicable. This grant program is not required to submit annual goals.
- No Data Entered: The grant has not yet entered any annual goals information.
- Incomplete: The grant has entered and saved some annual goals information data but

has not finished.

- **Ready for Approval:** The grant has entered all annual goals information and is ready for you to review.
- Update and Resubmit for Approval: The annual goals information have been reviewed, and you are requesting the grant to edit the data.
- Approved: The annual goals information has been reviewed and approved by you.

Once you have the list of grants you have specified, you can sort the list by the column headings. Click on the column heading, and the list will sort in ascending order. If you click the same column heading a second time, it will sort in descending order. Column headings include Program, GrantID, Organization Name, City/State/Zip, and Status.

Click **Select** on the left of the grant name to review the annual goals information for a particular grant.

(OMB Number: 0930-0285	; Expiration Date: 02/28/2022)		
Available Programs		Selected Programs	
ACT AWARE-COM AWARE-LEA AWARE-SEA	× ×	AOT	×
GrantID:			
Organization Name:			
City:			
State:		T	
Annual Goal Status:		•	
Grant Status:	Show Current Records	×	
			Find

Find Grant

	Program	GrantiD	Organization Name	City/State/Zip	Status
Select	PBHCI	SM000003	RTI TRAC Test Organization	RTP/North Carolina/27709	Update and Resubmit for Approval
Select	DSI CONTRC	9898-989-98	RTI TRAC Test Organization	RTP/North Carolina/27709	Approved
Select	BP CONTRCT	9999-888-99	RTI TRAC Test Organization	RTP/North Carolina/27709	N/A

STEP 3: REVIEW ANNUAL GOALS INFORMATION

The GPO Approval screen is the screen that provides all the goals information that was entered by a grantee. This is where you will review and agree or disagree with what they submitted. GPOs can review the onscreen Instructions, which explain the options available and steps to finish review.



The GPO Approval screen contains three sections: Services, Infrastructure Indicators, and Prevention and Mental Health Promotion Indicators.

Services

This section only applies to grants that provide data on CMHS National Outcome Measures (NOMs) Client-level Measures (Services Activities). SPARS will display each grant year in the grant's performance period. If a grant does not provide Services Activities, these screens will not be available.

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. They cannot leave any field blank.

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 five years would enter "10" for each of the five grant years.
- A grant that plans to serve 10 different consumers every year for five years would also enter "10" for each of the five 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 five years would enter "10" for its cumulative total.
- A grant that plans to serve 10 different consumers every year for five years would enter "50" for its cumulative total.

Previous Year			Current Year		Next Year		
Grant Year	(10/1/2015 - 9/30/2016)	(10/1/2016 - 9/30/2017)	(10/1/2017 - 9/30/2018)	(10/1/2018 - 9/30/2019)	(10/1/2019 - 9/30/2020)	Cumulative	
Test Grant (10/1/2015 - 9/30/2020)	250 Agree Disagree	250 Agree Disagree	250 Agree Disagree	250 Agree Disagree	250 Agree Disagree	800 Agree Disagree	
I Agree With	all Services Goals	I Disagree Wi	th all Services Go				

If you agree with the services goal, click on the I Agree With all Services Goals button. If you disagree with the services goal, 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 the Services annual goals that have been entered by the grantee, you are required to enter a comment into the comments box (1,250-character limit) at the end of the section.

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

IPP Indicators

This section applies to grants that provide SPARS IPP data. SPARS will list the IPP categories and the corresponding indicators that are required for each grant year in the grant's performance period. Please review Appendix A for a complete list of infrastructure categories and the definition of each indicator. For additional information, refer to the <u>IPP Overview of Indicators</u> <u>Guide</u> on the SPARS website.

The grantee must enter an Annual Goal for every IPP indicator for every grant year. The grantee can enter a zero (0) if the grant will not conduct one of the activities in a given grant year. However, grantees are expected to consult with their GPOs before entering a zero (0) for any indicator for any grant year. Unlike the Services goal, grantees do not need to enter a cumulative goal for infrastructure indicators. **NOTE:** If a grantee is granted a no-cost extension, they must enter Annual Goals for the no-cost extension time period. Grantees should not enter zero (0) for an annual goal.

If you agree with all of the IPP indicator goals, click on the I Agree With all Infrastructure Goals button. If you disagree with any of the IPP indicator goals or with all of the services 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.

If you choose to agree or disagree with items individually, you will have to do so for each item in that section. For any entries with which you disagree, you are required to enter a comment into the comments box (1,250-character limit) at the end of the section.

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

Infrastructure Indicators

Previous Year Current Year Next Year	ear	Current	us Year	Previous
--------------------------------------	-----	---------	---------	----------

Categories & Indicators	(10/1/2015 -	(10/1/2016 -	(10/1/2017 -	(10/1/2018 -	(10/1/2019 -
	9/30/2016)	9/30/2017)	9/30/2018)	9/30/2019)	9/30/2020)
Workforce Development					
WD2 - The <u>number of people</u> in the mental health and related workforce trained in mental health-related practices/activities that are consistent with the goals of the grant.	50	50	50	50	25
	Agree	Agree	Agree	Agree	Agree
	Disagree	Disagree	Disagree	Disagree	Disagree
Types/Targets of Practices					
T3 - The <u>number of people</u> receiving evidence-based mental health-related services as a result of the grant.	100	100	100	100	100
	Agree	Agree	Agree	Agree	Agree
	Disagree	Disagree	Disagree	Disagree	Disagree

I Agree With all Infrastructure Goals

I Disagree With all Infrastructure Goals

SECTION C: SUBMITTING DATA INTO SPARS

Once you have completed your review of the grant's annual goals information, scroll back to the top of the GPO Approval screen. You have the option to **Save And Quit** or **Submit to SPARS CMHS.**

Clicking the **Save And Quit** button will save your data and take you back to the Find Grant screen. Choose this option if you need to stop the review midway and come back to it later.



Clicking on **Submit to SPARS CMHS** will save and submit your data to SPARS. Once you click on **Submit to SPARS CMHS**, you will get a pop-up message asking you, "Are you sure you want to submit your data as final to SPARS CMHS?" Click **OK** to submit your data into SPARS and to return to the Find Grant screen. Click **Cancel** to return to the summary screen without submitting.

Note: If you click the **Cancel** option next to the **Print** option, you will leave the page, and your changes will not be saved.

	Grant #: IPPTEST2016
→ My Grants	Save And Quit Submit To SPARS CMHS
→ Admin	GPO Approval
- Data Entry	(OMB Number: 0930-0285; Expiration Date: 02/28/2022)
- Annual Goals	Please review all Goals and Budget information submitted by your grantee. Note: Grantees can su
Services	or no data (shown as blank) as goals.
▶ IPP	For eac 1) "I At (appro) You will lose the data if you leave the page. tion
▶ Data Download	- OR - 2) "I Di
	will be Cancel OK
	 The "Agree" or "Disagree" radio buttons to agree or disagree with specific goals. Note: this met agree or disagree for every goal within that specific section.
	Then select one of the following to end your review:

Once you submit the data into SPARS, the grantee is sent an automated email.

- If all Annual Goals were set to **Agree**, the grantee is notified that their annual goals information was approved. The grant's Annual Goals status on the Find Grant screen is updated to **Approved**.
- If any Annual Goals were set to **Disagree**, the grantee is notified by email and is asked to edit and resubmit their annual goals information. 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**.

LOG OUT

To exit SPARS, click on the gear icon next to your username on the upper right of the screen, and select **Log out**. You will return to the main SPARS screen.



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

ACCESSING HELP

For technical support or questions about SPARS, please contact the SPARS Help Desk.

Telephone: (855) 322-2746 (Toll-Free) Email: <u>SPARS-Support@rti.org</u> Hours: M–F, 8:00 AM–7:00 PM (Eastern Time)

APPENDIX A: INFRASTRUCTURE DEVELOPMENT, PREVENTION AND MENTAL HEALTH PROMOTION (IPP) INDICATORS

This appendix includes all IPP indicator definitions.

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., Memorandums of Understanding [MOUs]/Memorandums of Agreement [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 evidence-based practices (EBPs) to incorporate the special needs of unique populations or settings as a result of the grant

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