Systems of Care Expansion and Sustainability Cooperative Agreement (Cohort 5)

The Substance Abuse and Mental Health Services Administration's (SAMHSA's) Center for Mental Health Services (CMHS) collects data from Systems of Care Expansion & Sustainability (SOCXS) Cooperative Agreement Grantees (Cohort 5) on their Infrastructure Development, Prevention, and Mental Health Promotion (IPP) activities. Every quarter, grantees must report on these *five* IPP indicators in SAMHSA's Performance Accountability and Reporting System (SPARS):

1. **Policy Development (PD1):** The number of policy changes completed as a result of the grant.
2. **Types/Targets of Practices (T3):** The number of people receiving evidence-based, mental health–related services as a result of the grant.
3. **Outreach (O1):** The number of individuals contacted through program outreach efforts.
4. **Referral (R1):** The number of individuals referred for mental health or related services.
5. **Access (AC1):** The number and percentage of individuals receiving mental health or related services after referral.

This program guidance helps SOCXS grantees meet their IPP data reporting requirements in SPARS. The guide provides information on

o   IPP reporting requirements and deadlines
o   IPP reporting tips and resources
o   Program guidance and examples for each IPP indicator
o   How to submit IPP results in SPARS

IPP Reporting Requirements and Deadlines

Grantees must report IPP data in SPARS during each quarter of the Federal Fiscal Year (FFY) calendar (October 1–September 30), even if there are no new IPP results to report for a given indicator. For new grantees, data submission starts in the **second quarter** after the beginning of the grant. Once a grantee submits its IPP data, its government project officer (GPO) will review each indicator and either approve the results or request revisions. Grantees have until midnight of the grantee revision deadline (see "Grantee Deadline to Revise Data" column in Table 1) to submit revisions. After this deadline, the system does not allow data entry, GPO reviews, or grantee revisions.

Table 1: Quarterly Reporting Periods and Deadlines for Submitting IPP Results

Quarter	Quarterly Reporting Period	Grantee Deadline to Submit Data	GPO Review Deadline	Grantee Deadline to Revise Data	System Lock Date*
1st	October 1–December 31	January 31	February 28	March 31	April 1
2nd	January 1–March 31	April 30	May 31	June 30	July 1
3rd	April 1–June 30	July 31	August 30	September 30	October 1
4th	July 1–September 30	October 31	November 30	December 31	January 1

* System does not accept data entry, GPO reviews, or grantee revisions after this date.

IPP Reporting Tips and Resources

Every quarter, grantees are required to do the following for each indicator by the due date:

1. Go to SPARS online data entry/reporting system at https://spars.samhsa.gov/ to enter your data on the Result Record Form.

2. Submit data only on *completed* activities and trainings *in the quarter* they were completed. You can access SPARS at any time to enter your quarterly IPP results by the due date listed above.

3. DO NOT enter data on activities that are in progress, in planning phase, or pending.

4. CMHS understands that not every indicator will have a completed activity every quarter. If you have no activity to report for an indicator, you must enter a **No New Result** record in SPARS. To do so, select "If there were no new results, check this box" on the Result Record, then click the **Save - Add New** or **Save - Finish** button to complete the entry. The system will not accept a zero (0) result.

5. After you submit your data, your GPO will review and either approve, disapprove, or request revisions.
   o Contact your GPO for additional guidance about your IPP indicators.
   o For additional guidance on IPP indicators, refer to these practical resources accessible from either the SPARS Resource Library or Training Page:
      ▪ IPP Overview of Indicators Guide
      ▪ AGB & IPP Overview Training Recording
      ▪ IPP Data Entry Training Recording
   o The **SPARS Help Desk** is also available to provide technical support and answer questions about SPARS user accounts, passwords, or submitting data to SPARS. Call the SPARS Help Desk at (855) 322-2746 (toll-free), or email SPARS-Support@rti.org.

Policy Development (PD1)

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

Definitions of Key Terms

o **Policy:** A written document directing an action or event that is administrative or legislative in origin.
o **Change:** The creation of a policy that did not previously exist, the documentation of a policy that existed in an undocumented form, or the elimination or alteration of a policy that previously existed and had already been documented.
o **Completed:** Exists in its final form, and the party (or parties) with authority to do so has approved or passed the policy.

Examples of Policies (financing policies are excluded)

o Directives
o Guidance
o Clinical practice guidelines
o Regulations
o Statutes
o Operations manuals

o Procedures
o Bylaws
o Strategic plans
o Mission statements
o Written decisions
o Standards

Guidelines for Entering PD1 Results

On the Result Form, enter the following information in the quarter when the policy change is complete:

o **Result Name:** Enter the name/title of the changed policy.
o **Result Description:** Enter a description of who changed the policy and what the policy entailed.
o **Result Number:** Report one policy change per result record.

If you have no activity to report for PD1, you must record this by checking "If there were no new results, check this box" on the Result Form.

Examples of PD1 Results

Scenario 1.
o **Result Name:** County Statute
o **Result Description:** The county put in place a policy requiring that all community centers implement a national suicide plan.
o Result Number: 1

Scenario 2.
o **Result Name:** Clinical Practice Guidelines
o **Result Description:** Our organization put procedures in place to implement clinical practice guidelines regarding children's residential services.
o Result Number: 1

What to Report

o **Report** on all policy changes completed in the quarter as a result of the grant.
o **Report** each policy change once and only when the change is complete.
o **Do not report** the policy change if discussions about the policy have only begun and the change is not complete or approved.
o You may **report** the policy change before its implementation.

Types/Targets of Practices (T3)

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

The intent of T3 is to report the number of people receiving evidence-based, mental health–related services as a result of the grant. The intent is to report on individuals who are not mental health professionals and/or involved in the related mental health workforce.

Definitions of Key Terms
o **Evidence-Based:** Rigorously tested interventions that yield consistent, replicable results and that are proven safe, beneficial, and effective for most people diagnosed with mental illness.
o **Mental Health–Related:** Pertaining to mental health or the population of people with or at risk of mental illness, including people with co-occurring substance use disorders. When people with or at risk of mental illness are the population of focus, a wide array of subject areas may be considered to be mental health–related by virtue of the connection with this population. Under such circumstances, mental health–related areas may include, but are not limited to, those pertaining to physical health, co-occurring disorders (mental illness and substance use disorders), housing, employment, criminal or juvenile justice involvement, child welfare, education, social and family relationships, independent living skills, peer support, and financial well-being.

Guidelines for Entering T3 Results
On the Result Form, enter the following information:

o **Result Name:** Enter the name/title of the evidence-based service received and the type of individuals receiving the service.
o **Result Description:** Enter a brief description of the type of individuals who received the service and the type of evidence-based, mental health–related services provided.
o **Result Number:** Enter the total number of individuals who received the service.

If you have no activity to report for T3, you must record this by checking "If there were no new results, check this box" on the Result Form.

Example of T3 Results
o **Result Name:** Quarterly Progress Report (QPR) Gatekeeper Training for Residence Hall Advisors at the East and West Dormitory Buildings
o **Result Description:** Resident Assistants received a 2-hour QPR Gatekeeper Training that included suicide prevention information and referral resources to use with the students in their hall.
o **Result Number:** 270

Who to Count
o **Count** the number of individuals who received evidence-based, mental health or related services.
o **Do not count** the number of services.

Outreach (O1)

O1 is the number of individuals contacted through program outreach efforts.

The intent of O1 is to capture information on one-on-one contacts with individuals using outreach or other strategies to increase participation in and access to treatment services for the population of focus as a result of the grant.

Definitions of Key Terms
o   **Contacted:** Making a connection with individuals. Programs can make contacts on the streets, via telephone, in various program settings, at drop-in centers, or in community settings.
o   **Outreach:** Strategy designed to increase access and participation in treatment services for the population of focus.

Guidelines for Entering O1 Results
On the Result Form, enter the following information in the quarter when the outreach took place.

o   **Result Name:** Enter the name of the outreach effort.
o   **Result Description:** Enter a brief description of the outreach effort.
o   **Result Number:** Enter the total number of individuals contacted through the program outreach effort.

If you have no activity to report for O1, you must record this by checking "If there were no new results, check this box" on the Result Form.

Example of O1 Results
o   **Result Name:** Youth Cultural Achievement Family Fun Day
o   **Result Description:** As a result of the grant and during this quarter, we spoke with 20 young people at a Family Fun Day event sponsored by the Youth Cultural Achievement Program and shared information about intergenerational sharing circles for mental wellness.
o   **Result Number:** 20

Who to Count
o   **Count** the number of individuals.
o   **Do not count** the number of contacts.
o   For example, if a program contacts a person five times, count the individual once.
o   Programs can also count outreach to further engage individuals already enrolled in services, such as an individual who started services although the program has not seen this individual in a while.
o   **Do not count** individuals contacted for general appointment reminders or as part of service provision.

Referral (R1)

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

The intent of R1 is to capture information on individuals referred to mental health or related services outside of the grant program as a result of the grant.

Definitions of Key Terms
o **Referred:** Recommending an individual for mental health or related services.
o **Mental Health–Related:** Pertaining to mental health or the population of people with or at risk of mental illness; also includes people with co-occurring substance use disorders. When people with or at risk of mental illness are the population of focus, a wide array of subject areas may be considered to be mental health–related by virtue of the connection with this population. Under such circumstances, mental health–related areas may include, but are not limited to, those pertaining to physical health, co-occurring disorders (mental illness and substance use disorders), housing, employment, criminal or juvenile justice involvement, child welfare, education, social and family relationships, independent living skills, peer support, financial well-being, etc.
o **Services:** Includes treatment, rehabilitation, prevention, mental health–related promotion, and supportive services (e.g., evidence-based practices; consumer-operated services [family driven and/or youth guided services]; culturally specific practices; suicide prevention programs; rural telehealth programs; and anti-stigma campaigns).

Guidelines for Entering R1 Results
On the Result Form, enter the following information in the quarter when the referral occurred.
o **Result Name:** Enter a short statement of who was being referred.
o **Result Description:** Enter a short description of who was referred and the focus of the referral.
o **Result Number:** Enter the total number of people referred.

If you have no activity to report for R1, you must record this by checking "If there were no new results, check this box" on the Result Form.

Example of R1 Result
o **Result Name:** Referred Veterans
o **Result Description:** Forty veterans involved in the legal system were referred for jail diversion and trauma recovery services during the quarter.
o **Result Number:** 40

Who to Count
o **Count** the number of people referred.
o **Do not count** the number of services.

Access (AC1)

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

Definitions of Key Terms

o **Referral:** Recommending an individual for mental health or related services.
o **Mental Health–Related:** Pertaining to mental health or the population of people with or at risk of mental illness, including people with co-occurring substance use disorders. When people with or at risk of mental illness are the population of focus, a wide array of subject areas may be considered to be mental health–related by virtue of the connection with this population. Under such circumstances, mental health–related areas may include, but are not limited to, those pertaining to physical health, co-occurring disorders (mental illness and substance use disorders), housing, employment, criminal or juvenile justice involvement, child welfare, education, social and family relationships, independent living skills, peer support, and financial well-being.

Examples of Mental Health–Related Services

o Physical health
o Mental health outpatient services
o Mental health inpatient services
o Criminal or juvenile justice involvement
o Tribal healing circles

o Child welfare
o Education
o Independent living skills
o Peer support

Guidelines for Entering AC1 Results

On the Result Form, enter the following information when the referrals took place:

o **Result Name:** Enter the program referral type.
o **Result Description:** Enter a brief description of the program referral effort.
o **Numerator:** Enter the total number of individuals you referred *and* who are receiving mental health or related services.
o **Denominator:** Enter the total number of individuals referred.
o **Percentage:** The percentage is automatically calculated in SPARS after entering the numerator and denominator and saving the record.

If you have no activity to report for AC1, you must record this by checking "If there were no new results, check this box" on the Result Form.

Example of AC1 Result

o **Result Name:** Program Referrals for Psychotherapy Care to Treat Depression
o **Result Description:** As a result of the grant, out of 21 individuals that were flagged by the Patient Health Questionnaire–9 and referred this quarter, 9 of them are receiving services.
o **Numerator:** 9
o **Denominator:** 21
o **Percentage:** 42.86% (calculated by system)

Who to Count

o **Count** the number and percentage of individuals receiving mental health or related services after the referral.
o **Do not count** the number of services.

July 24, 2020

Tips

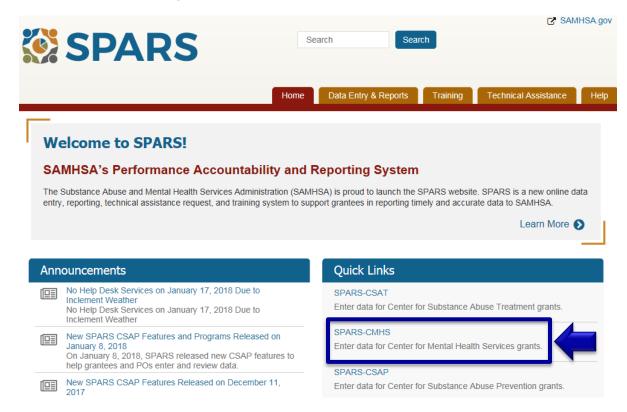Develop a protocol to track all early identification, referral, and follow-up information.

A variety of methods can be used:

o   Single point of contact: A person or department serving as the coordinator or focal point of information.
o   Multiple information sources: Obtained from or involving more than one source.
o   Data sharing agreement: A formal contract that clearly documents what data are being shared and how the data can be used.
o   Establish a relationship with a service provider who can provide you with the number of individuals who are receiving services.

How to Submit IPP Results in SPARS

To submit IPP results in SPARS, select **SPARS-CMHS** from the Quick Links section of the SPARS home page at https://spars.samhsa.gov.

After logging in, you will see a menu bar on the left side of the home screen. Select the dropdown menu **Data Entry** > IPP > Results List.

To submit an IPP result in SPARS, click the **Add New Result** button to access the **Result Record.** The fields you need to complete for each indicator are shaded in yellow.

If you have no activity to report for an indicator, you must enter a **No New Result** record in SPARS. To do so, select "If there were no new results, check this box" on the Result Record, then click the **Save - Add New** or **Save - Finish** button to complete the entry.