SAMHSA Performance Accountability & Reporting System (SPARS)

SPARS Training: Required Indicators and Reporting Requirements

SAMHSA Suicide Prevention Lifeline Crisis Center Follow-Up Expansion Grant

FY 2019 SM-19-008

Portland Ridley
Public Health Advisor
Substance Abuse and Mental Health Services Administration
U.S. Department of Health and Human Services

Tuesday, August 20, 2019
2:00-3:00pm Eastern Time
Parklawn Building, Rockville, MD
SPARS Training

SAMHSA Suicide Prevention Lifeline Crisis Center Follow-Up Expansion Grant

Tuesday, August 20, 2019  2:00pm to 3:00pm ET

Please Stay By

Training Webinar will begin shortly

For audio, please call  1-888-390-0789
Conference Number  PMXW9472151
Audience Pass code  1482822

If you are experiencing technical difficulties, please  press *0
Welcome!

Webinar is being recorded

Webinar recording and slides will be posted at SPRC website at www.sprc.org
AGENDA

1. Overview of SPARS

2. Operational Definitions of Required Indicators

3. Reporting Requirements
   • Annual Performance Goals and Budget Estimates
   • Quarterly Data Entry Requirements

4. Accessing SPARS system, User Account and Password

5. SPARS Resources
SAMHSA’s Performance Accountability and Reporting System (SPARS)

- **https://spars.samhsa.gov/**: Online platform for CMHS data entry and reporting

- Supports SAMHSA in meeting Government Performance and Results Act (GPRA) of 1993 and GPRA Modernization Act of 2010 requirements

- GPO develops program guidance and provides trainings on SPARS and indicators

- SPARS Help desk provides tech support with user accounts, passwords, & data entry screens
SPARS is used for Performance Measurement

- **Monitors** how well we’re doing in reaching goals
- Board shallow snapshot
- Indicators to measure **progress**
- Early warning system to management & tool for **public accountability**
- Continual measurement and reporting of indicators
Overview: SPARS has two program components

1. Annual Performance Goals and Budget Estimates (AGB)
   - Submit goals/budget info **just once**; Due: Sept 30, 2019
   - Modify future goals once a year, if needed

2. Quarterly Data
   - Submit data on a **quarterly** basis
   - Begin Data Entry: First Quarter; Due Jan. 31, 2020
Required Performance Indicators

- PC2: Partnerships & Collaborations
- O1: Outreach
- S1: Screening
- R1: Referral
- AC1: Access
1. **Partnerships/Collaborations (PC2)** The *number of organizations* collaborating, coordinating, or sharing resources with other organizations as a result of the grant.

2. **Outreach (O2)** The *number of individuals* contacted through program outreach efforts.
Required IPP Indicators (*continued*)

3. Screening (**S1**) The *number of individuals* screened for mental health or related interventions

4. Referral (**R1**). The *number of individuals* referred to mental health or related services

5. Access (**AC1**) The *number and percentage of individuals* receiving mental health or related services after referral
PC2: Partnerships

**Intent**

Report information on organizations who are collaborating for the first time as a result of the grant.

**Count**

The *number of organizations* in the collaboration

**Examples**

- Task forces, Advisory Boards
- Coalitions
- Networks
- Data Sharing and Referral Systems
- Policies and Protocols
- Trainings
- Informal or Formal agreements
PC2: Partnerships/Collaborations

**Count**
- Number of organizations collaborating, coordinating or sharing resources with other organizations as a result of the grant
- Count the number of organizations collaborating for the first time
- For subsequent quarters, count any new organizations added to the collaboration
- Count the organization only **ONCE** during the life of the grant

**Do Not Count**
- Organizations in collaborations that existed *prior* to the grant award
- Number of meetings held
- Number of resources shared
- Organizations that have been reported in previous quarters (this is a duplicated count)
- Grant project (yourself!)
## O1: Outreach

**Intent**

- 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 in focus as a result of the grant.

**Count**

- The number of individuals; not the number of contacts.
- The number of individuals you have reached; not attempted for follow-up (the number of “enrolled” participants).
- The number of individuals you are “enrolling” in follow-up programs.
Screening (S1):

Who are you counting?

Count

• Number of Individuals screened for mental health or related intervention in the given quarter; not the number of interventions
• Screened for initial identification of those who may be in need of specific intervention;

DO NOT COUNT

• Ongoing monitoring to assess individual progress/status

Count: Examples

• Count local, NSPL callers, ED and inpatient psychiatric hospital consumers: anyone eligible for follow-up services through your grant.
• Include people who were screened in the ED if they were screened as part of the grant.
• Eligible individuals are those that were expressing suicidal behavior within 48 hours of contact.
Referral (R1): Who are you counting?

**Count**

- Number of *Individuals* referred for mental health or related services *in the given quarter*

- Enter the number of individuals among those followed up by center that are referred to mental health or related services at the time of the baseline crisis call or at follow-up

**Do Not Count**

- Number of Services

- Ongoing monitoring to assess individual progress and status
Submit 2 results for R1:

– The **first result** should FOCUS ON direct mental health referrals. Examples of these would include referrals to therapy, AA, inpatient hospitalizations, detox, and specialized crisis lines.

– The **second result** should FOCUS ON all other referrals. Examples of “other referrals” would include homeless shelters, food banks, credit counselors, etc.
Access (AC1): Who are you counting?

Count

- Number of Individuals receiving mental health or related services \textit{after} referral \textit{in the that quarter}

- Numerator: Total number of individuals who have been referred and are receiving mental health and related services

- Denominator: Total number of individuals referred

Do Not Count

- Number of Services

- Ongoing monitoring to assess individual progress and status
For the numerator:

• referrals should be counted as being received in the quarter that the individual actually received the service.

• if a referral is made in one quarter, but the individual didn’t receive the service until the next quarter, count it in the quarter in which the service was received.
Submit 2 Results for AC1

• The **first result** should focus on **direct mental health** referrals. Examples of these would include referrals to therapy, AA, inpatient hospitalizations, detox, and specialized crisis lines. Numerator = of those referred for mental health services, the number who are receiving mental health services. Denominator = total number of individuals referred for mental health services.

• The **second result** should focus on **all other** referrals. Examples of “other referrals” would include homeless shelters, food banks, credit counselors, etc. Numerator = of those referred to “other services” the number who are receiving other services. Denominator = total number of individuals referred for other services.
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<thead>
<tr>
<th>Quarter</th>
<th>Reporting Period</th>
<th>Grantee Deadline to Submit Data</th>
<th>GPO Deadline to Review</th>
<th>Grantee Deadline to Revise Data</th>
<th>No Further Changes Can be Made</th>
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<tbody>
<tr>
<td>1&lt;sup&gt;st&lt;/sup&gt;</td>
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<td>Jan. 31</td>
<td>Feb. 28</td>
<td>Mar. 31</td>
<td>Apr. 1</td>
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<td>2&lt;sup&gt;nd&lt;/sup&gt;</td>
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<td>June 30</td>
<td>July 1</td>
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<td>3&lt;sup&gt;rd&lt;/sup&gt;</td>
<td>Apr. 1–June 30</td>
<td>July 31</td>
<td>Aug. 30</td>
<td>Sept. 30</td>
<td>Oct. 1</td>
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<td>4&lt;sup&gt;th&lt;/sup&gt;</td>
<td>July 1–Sept. 30</td>
<td>Oct. 31</td>
<td>Nov. 30</td>
<td>Dec. 31</td>
<td>Jan. 1</td>
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SPARS Quarterly Data Entry Requirements

- Enter a Result Record Form(s) **for each indicator** by the deadline.
- SPARS is always live; data can be entered any time by the deadline
- Enter data only on *completed* activities & trainings *in the quarter* it was completed
- DO NOT enter data on activities that are “*in progress*” or “*pending*”
- Nothing new to report? Click on “No New Results” which is a valid data entry
- After you submit your data, your GPO will review, approve/disapprove or request revisions
Requirements for Reporting IPP Results

• IPP Record Result Form has 3 parts
  – Name
  – Description
  – Number

• Results should be:
  – Reported every quarter in SPARS
  – Consistent with the goals of the grant
  – For completed activities only

• If there is no new activity to report, enter a “No New Result” record in SPARS
Welcome to SPARS!

SAMHSA’s Performance Accountability and Reporting System

The Substance Abuse and Mental Health Services Administration (SAMHSA) is proud to launch the SPARS website. SPARS is a new online data entry, reporting, technical assistance request, and training system to support grantees in reporting timely and accurate data to SAMHSA.

Announcements

- No Help Desk Services on January 18, 2018
- No Help Desk Services on January 18, 2018 Due to Inclement Weather
- No Help Desk Services on January 17, 2018
- No Help Desk Services on January 17, 2018 Due to Inclement Weather
- New SPARS CSAP Features and Programs Released on January 8, 2018
  On January 8, 2018, SPARS released new CSAP features to help grantees and POs enter and review data.

Quick Links

- SPARS-CSAT
  Enter data for Center for Substance Abuse Treatment grants.
- SPARS-CMHS
  Enter data for Center for Mental Health Services grants.
- SPARS-CSAP
  Enter data for Center for Substance Abuse Prevention grants.
ADD/FIND RESULTS

(OMB Number: 0930-0285; Expiration Date: 03/31/2020)

ADD NEW RESULT
To enter a new result, select the Program and Grant (if applicable) and then click on the Add New Result button.

Program: Cooperative Agreements to Implement Zero Suicide in Health

Grant: 

Add New Result

FIND RESULTS
To search results that need an action by you or to review previously entered results, complete the selection criteria below and click on the Find Results button.
Result Record

(OMB Number: 0930-0285; Expiration Date: 03/31/2020)

**INSTRUCTIONS:** Enter one result per indicator on this data entry screen. Please do not use the same result name twice in one federal fiscal year quarter\(^1\). Note: Screen will refresh when you select the date range or indicator.

Grant Number: SP0001024 (Not a training grant SP0001024)

Date Range Result Was Completed: 

Indicator:

1. FFY QUARTER 1 (10/1– 12/31); FFY QUARTER 2 (1/1– 3/31); FFY QUARTER 3 (4/1– 6/30); FFY QUARTER 4 (7/1– 9/30)

If there were no new results, check this box: ☐

Result Name:

Result Description:(Do not exceed 550 characters.)
<table>
<thead>
<tr>
<th>Indicator</th>
<th>Grant ID</th>
<th>Organization Name</th>
<th>Result Name</th>
<th>FFY Quarter</th>
<th>Status</th>
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<tbody>
<tr>
<td>WD2</td>
<td>Add</td>
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<td>MISSING DATA – ADD RECORD</td>
<td>2018 Q2 (1/1/2018 - 3/31/2018)</td>
<td>Incomplete – Pending Grantee Revision or Missing Data</td>
</tr>
<tr>
<td>WD5</td>
<td>Add</td>
<td></td>
<td>MISSING DATA – ADD RECORD</td>
<td>2018 Q2 (1/1/2018 - 3/31/2018)</td>
<td>Incomplete – Pending Grantee Revision or Missing Data</td>
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<tr>
<td>T1</td>
<td>Edit</td>
<td>Del</td>
<td>No New Result</td>
<td>2018 Q2 (1/1/2018 - 3/31/2018)</td>
<td>Pending GPO Review</td>
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<tr>
<td>S1</td>
<td>Add</td>
<td></td>
<td>MISSING DATA – ADD RECORD</td>
<td>2018 Q2 (1/1/2018 - 3/31/2018)</td>
<td>Incomplete – Pending Grantee Revision or Missing Data</td>
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<td>R1</td>
<td>Add</td>
<td></td>
<td>MISSING DATA – ADD RECORD</td>
<td>2018 Q2 (1/1/2018 - 3/31/2018)</td>
<td>Incomplete – Pending Grantee Revision or Missing Data</td>
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<tr>
<td>AC1</td>
<td>Add</td>
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<td>MISSING DATA – ADD RECORD</td>
<td>2018 Q2 (1/1/2018 - 3/31/2018)</td>
<td>Incomplete – Pending Grantee Revision or Missing Data</td>
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</table>
**INSTRUCTIONS:** Enter one result per indicator on this data entry screen. Please do not use the same result name twice in one federal fiscal year quarter¹. Note: Screen will refresh when you select the date range or indicator.

Grant Number: SP0002150 (Not a training grantSP0002150)

Date Range Result Was Completed: FFY 2018 Quarter 2 (Jan. 1 2018 – Mar. 31 2018)

Indicator: Screening - S1

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

¹ FFY QUARTER 1 (10/1– 12/31); FFY QUARTER 2 (1/1– 3/31); FFY QUARTER 3 (4/1– 6/30); FFY QUARTER 4 (7/1– 9/30)

If there were no new results, check this box: [ ]

**Result Name:** Behavioral Health Screening

**Result Description:** (Do not exceed 550 characters.)

As a result of the grant, we administered the Behavioral Health Screen to 116 individuals at the participating primary care practices this quarter.

**Number:** 116
**INSTRUCTIONS:** Enter one result per indicator on this data entry screen. Please do not use the same result name twice in one federal fiscal year quarter. Note: Screen will refresh when you select the date range or indicator.

Grant Number: SP0002150 (Not a training grant SP0002150)

Date Range Result Was Completed: FFY 2018 Quarter 2 (Jan. 1 2018 – Mar. 31 2018)

Indicator: Access - AC1

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

If there were no new results, check this box: ✅

Result Name: No New Result

Result Description: (Do not exceed 550 characters.)

Numerator: 

Denominator: 

Percentage: 

Save - Add New  Save - Finish
• Result Name: Suicide Risk Screening
• Result Description: During this quarter, 13,071 individuals were screened for suicide risk. 9,398 on the crisis line and 3,673 in the Mt. Mary ED.
• Result Number: 13,071
Example of AC1 Result

- **Result Name:** Program Referrals
- **Result Description:** During this quarter, out of 21 individuals that were flagged by the Behavioral Health Screen and referred this quarter, 9 of them are receiving services.
- **Numerator:** 9
- **Denominator:** 21
- **Percentage:** 42.85% (calculated by system)
Webinar is being recorded

Webinar recording and slides will be posted at

SPRC website at [www.sprc.org](http://www.sprc.org)
Purpose of Annual Performance Goals

1. Quantify what you plan to accomplish with your grant
2. Tied to your workplan: Realistic & Attainable!
3. Used for performance and program management
4. Developed in collaboration with your GPO

It is a “Goals-Based” type evaluation used to assess & monitor the extent your project is meeting its goals
What is an Annual Performance Goal?
It is a Numeric Value Set for Each Required Indicator

- PC2 • Partnerships
- O1 • Outreach
- S1 • Screening
- R1 • Referral
- AC1 • Access
Set a *Numeric* Goal for Each Individual Project Period

- **Year 1:** May 31, 2019 – May 30, 2020
- **Year 2:** May 31, 2020- May 30, 2021
- **Year 3:** May 31, 2021- May 30, 2022
Step 1. Enter annual performance goals for required indicators:

- Partnerships/Collaborations (PC2)
- Outreach (O1)
- Screening (S1)
- Referral (R1)
- Access (AC1)
Step 2. Enter annual budget estimates for these budget categories:

1. Infrastructure Development
2. Data Collection, Evaluation, Performance Measurement and Assessment
3. Mental Illness Prevention and Mental Health Promotion Activities
4. Grant Administration
5. Services Provision: This category is N/A; Must Enter a “0”
6. Technical Assistance: This category is N/A; Must enter a “0”
Review the stated goals/objectives in your application program plan. What are you planning to do and achieve?

Know the definitions of the required IPP indicators: PC2, O1, S1,R1, AC1

Identify which IPP indicator applies to your stated goal for each grant year

Count the number of activities you plan for each grant year for each IPP Indicator to calculate your goals

Identify which IPP Indicator (s), if any, is NOT a Goal of your project
Identify which IPP Indicator has no set goal

1. There is no negative consequences of having a goal of Zero “0” for a particular Indicator

2. Goals are based on your application program plans. Do NOT make or ADD new goals.

3. You must enter a numeric value for each grant year. This includes a Zero “0”.
Purpose of Entering Budget Estimates into SPARS

- Estimate how much of your annual Federal budget you plan to spend on the four SPARS Budget Categories
- Estimates are entered for each budget grant year; not cumulative
- Budget is not directly linked to the IPP Indicators
Getting Started:

Resources You Need to Create Budget Estimates

1. Review Section V: Proposed Approach of your Application

2. Review your budget and budget narrative in application

3. Review your Notice of Award (NoA) for total Federal award amount for each grant year

4. Know the four SPARS Budget Categories
There are 6 Budget Categories on the SPARS Screen

Create Budget Estimates for

- Infrastructure Development
- Data Collection/Evaluation
- MH Promotion/Prevention
- Grants Administration

DO NOT Create Budget Estimates for

- Services Provision (Direct-Client Treatment)
- Technical Assistance

Because these categories are non-applicable, you must enter a ZERO “0” in the Cell for all 3 years
Enter a budget estimate amount for each budget category for each grant year

As you develop an estimate, consider the following:

✓ The type of activities you plan to spend within each category

✓ Include all direct & indirect costs associated with each budget category. It is okay to estimate indirect costs.

✓ DO NOT include: in-kind contributions, match costs, or carry over dollars
Budget Category:

INFRASTRUCTURE DEVELOPMENT

Enter a budget estimate spent on the provision of infrastructure development activities, such as:

• Develop/Enhance policies, partnerships, and sustainability planning, partnerships, workforce development trainings

• Enhancing system capacity, crisis response and coordination

• Enhance coordination, cross-system referral and follow-up networks, care transition, data sharing systems

• Develop/Enhance crisis response/management protocols
DATA COLLECTION, EVALUATION, PERFORMANCE MEASUREMENT/ ASSESSMENT

Enter a budget estimate spent on activities involved in:

– Collection, management, analysis, & reporting of data for GPRA, SPARS, SAMHSA reports

– Efforts related to fidelity of program implementation (i.e. Disparity Impact Statement), and other process evaluation activities

Estimate **CANNOT exceed 15% of annual grant amount**
MENTAL ILLNESS PREVENTION / MENTAL HEALTH PROMOTION ACTIVITIES

Enter a budget estimate spent on the provision of mental health awareness/prevention/promotion activities:

– public awareness campaigns
– social marketing and engaging key stakeholders
– outreach/awareness activities
– product development and dissemination
– screening, information & referral, access
Budget Category:

GRANT ADMINISTRATION

Enter a budget estimate spent on overall project management and administration such as:

– Preparing reporting requirements
– Preparing major budget/program modification requests
– Reconciling grant budgets
– Reviewing/managing project timelines
– Preparing optional SAMHSA post-award grant requests
Enter Budget Estimates for *each* grant year;

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<td>Dollar Amount</td>
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<td>Sum of Dollar Amounts per Grant Year</td>
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<td>Percentage of Award Amount Accounted for:</td>
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</table>
1. Select “Data Entry & Reports”, “-for- CMHS Users”, and then “CMHS Data Entry”
2. Select “Data Entry” and then advance to “Annual Goals & Budget” via Dropdown Menu
3. For each Indicator, enter goal for every FFY of grant award
5. Specify “Dollar Amount” or “Percent of Annual Grant Award Amount” on Budget Screen #1
6. Enter grant’s award amount for every FFY on Budget Screen

**Budget Screen #2**

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

- **My Grants**
- **Admin**
- **Data Entry**
  - **Annual Goals & Budget**
  - **Services**
  - **IPP**
- **Data Download**

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**Budget Info**

(OMB Number: 0930-0285; Expiration Date: 03/31/2020)

Total Grant Award: 2760000

Instructions:

You selected "Percent of Annual Grant Award Amount" as the method for entering your budget data. Enter the budget for your current grant year, and all 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 SPARS CMHS system). The system will display the Total Grant Award on Record. If you think the "Total Grant Award on Record" amount is incorrect, please contact the SPARS Help Desk.

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<table>
<thead>
<tr>
<th>Category</th>
<th>Previous Year</th>
<th>Current Year</th>
<th>Next Year</th>
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<tr>
<td>Award Amount per Grant Year</td>
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**SAMHSA**

Substance Abuse and Mental Health Services Administration
7. For each category, enter budget information (either dollar amount or percent) for every FFY of grant award

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<tr>
<td>Sum of Dollar Amounts per Grant Year</td>
<td>0</td>
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</table>
8. Enter “0” for Services Provision and Technical Assistance Category

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<td>Award Amount per Grant Year</td>
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<td>Services Provision</td>
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<td>Dollar Amount</td>
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<td>Infrastructure Development</td>
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<td>Dollar Amount</td>
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<tr>
<td>Data Collection, Evaluation, Performance</td>
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<td>Measurement and Assessment</td>
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<td>Dollar Amount</td>
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<td>Mental Illness Prevention and Mental Health</td>
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<td>Promotion Activities</td>
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<td>Dollar Amount</td>
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<td>Grant Administration</td>
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<td>Technical Assistance</td>
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<td>Dollar Amount</td>
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<tr>
<td>Sum of Dollar Amounts per Grant Year</td>
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<tr>
<td>Percentage of Award Amount Accounted for:</td>
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</table>
9. On Grantee Approval/Submission screen, select “Save And Quit” or “Submit for Approval”
<table>
<thead>
<tr>
<th>Budget Category</th>
<th>Year One Grant Award Amount</th>
<th>Year Two Grant Award Amount</th>
<th>Year Three Grant Award Amount</th>
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<tbody>
<tr>
<td></td>
<td>300,000</td>
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<tr>
<td>1. Services Provision</td>
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<tr>
<td>2. Infrastructure Development</td>
<td>40%</td>
<td>40%</td>
<td>30%</td>
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<tr>
<td>3. Data Collection/Evaluation</td>
<td>15%</td>
<td>15%</td>
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<tr>
<td>4. Prevention &amp; Promotion</td>
<td>30%</td>
<td>30%</td>
<td>40%</td>
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<td>5. Grant Administration</td>
<td>15%</td>
<td>15%</td>
<td>15%</td>
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<tr>
<td>6. Technical Assistance</td>
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</tbody>
</table>
| Sum                                   | 100%                         | 100%                         | 56%                          | 100%
Timeline for AGB Reporting

• New grantees enter AGB information into SPARS within 90 days of the start of grant funding; Grantee Deadline: Sept 30, 2019

• GPOs review and approve AGBs

• Grantees can update AGB information annually (at the beginning of each new Federal fiscal year during the first quarter)
Reminder:

1. Annual Performance Goals and Budget Estimates (AGB)
   - Submit goals/budget info just once; Due: Sept 30, 2019
   - Modify future goals once a year, if needed

2. Quarterly Data
   - Submit data on a quarterly basis
   - Begin Data Entry: First Quarter; Due Jan 31, 2020
Grantee Requirements for SPARS:

1. Submit data every quarter for each required indicator by the deadline (this includes checking the “No New Results” box to report “no new activities” for a given indicator)

2. Submit Annual Performance Goals, for each indicator, for each project year

3. Submit Budget Estimates for each project year
SPARS Staff Resources

- **SAMHSA Government Project Officer (GPO):**
  Provides programmatic technical assistance and consultation on classifying IPP indicators, setting annual goals and budget information, reviews and approves your data.

- **SPARS Help Desk**
  Provides technical support with log in, user account, passwords, and navigating screens.
  - Phone: 1-855-796-5777
  - Email: SPARS-support@rti.com
Contact SPARS Help Desk for:

- Setting Up User Account and Password Resets
- Changing your account/Adding new users to your account
- Accessing and logging into SPARS system
- Entering, editing data and navigating the screens
- Running Performance Reports

**SPARS Help Desk**

Hours: Monday – Friday  
8:00 a.m. to 7:00 p.m. (EST)  
Phone: (855) 322-2746 (toll-free)  
E-mail: SPARS-Support@rti.org
SAMHSA’s mission is to reduce the impact of substance abuse and mental illness on America’s communities.

Portland Ridley, Public Health Advisor, Portland.ridley@samhsa.hhs.gov

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