

**SAMHSA's Performance Accountability and  
Reporting System (SPARS)**

**Center for Mental Health Services**

**NOMs Client-Level Measures for Discretionary Programs  
Providing Direct Services**

**Number of Consumers Served Report  
by Grant Year**

**Guide for Grantees and CMHS staff**



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## Contents

NOMs Client-Level Measures for Discretionary Programs Providing Direct Services  
Number of Consumers Served Report by Grant Year .

Guide for Grantees and CMHS staff.....	1
GENERAL OVERVIEW.....	3
SECTION A: KEY TERMS.....	4
SECTION B: RUNNING THE REPORT.....	5
Step 1: Navigate to the Report.....	5
Step 2: Select the Criteria (optional).....	5
Step 3: View the Report.....	6
SECTION C: USING THE REPORT.....	8
What information does the report show?.....	8
Why are multiple years shown?.....	8
Helpful tips.....	8
THINGS TO REMEMBER / FREQUENTLY ASKED QUESTIONS.....	10
ACCESSING HELP.....	10
APPENDIX: TECHNICAL DETAILS.....	11
Definitions.....	11
How does SPARS run the report?.....	15

## **GENERAL OVERVIEW**

The Number of Consumers Served Report by Grant Year summarizes information about the number of consumers served by SAMHSA Center for Mental Health Services (CMHS) grantees. For example, you can find out how many consumers the grant served, the grant's annual goal, and the percentage of the goal that the grantee has met. This information helps project directors, grantee staff, government project officers (GPOs), and CMHS staff assess how CMHS grantees are doing in meeting their annual goal of the number of consumers served.

The Number of Consumers Served Report by Grant Year includes the following information:

- The unduplicated count of consumers served per year in a selected Grant Year
- The grantee's annual goal of consumers to serve for the selected Grant Year
- The percentage of the goal achieved for the selected Grant Year (the rate)
- The first three items above for the Grant Year before the selected grant year (for comparison purposes)
- An unduplicated count of consumers served since the start of the grant (Cumulative to Date Served)
- The unduplicated goal—Cumulative to Date Goal—of all consumers to serve during the total grant period

This guide to the Number of Consumers Served Report provides the following information:

- a list of key terms you need to understand for this guide and the report,
- instructions for running the report and customizing it for your needs,
- a description of how to use the report, and
- an appendix of technical details.

## SECTION A: KEY TERMS

This section presents brief definitions of terms used in the Number of Consumers Served Report as well as in this guide.

**Consumer:** A *consumer* is a person who has received or is receiving services from a CMHS-funded program.

**Grant Year:** The *grant year* is specific to each grant and SPARS will display the year as entered by the user. For example, if a grant started on October 1, 2009, the first Grant Year would be October 1, 2009–September 30, 2010.

**Consumers Served:** The number of unique consumers served within the Grant Year specified in the column header.

**Annual Goal:** The *annual goal* is the planned number of consumers who will receive CMHS grant-funded services in a given Grant Year. This goal is set by grantees in collaboration with their GPOs, and SPARS displays the goal as entered by the user.

**Rate:** The *rate* is the percentage of the goal achieved by the grantee.

**Role:** Your *role* in the SPARS system governs what you can view in SPARS. Examples roles include project director, grantee staff, and GPO. The general rule is that you can run reports for the grant(s) and/or grant program(s) that you are associated with. For example, most grant project directors or grantee staff are associated with just one grant and can see only data for this particular grant.

## **SECTION B: RUNNING THE REPORT**

To run the **Number of Consumers Served Report**, there are three steps:

1. Navigate to the Number of Consumers Served Report menu
2. Select criteria for the report view (optional)
3. View the report

### **Step 1: Navigate to the Report**

From the top navigation bar, select **Data Entry & Reports** then select **for CMHS Users**.

Select **CMHS Report** to open the SPARS CMHS Reports page.

From the left menu, select **Number of Consumers Served by Grant Year**.

Under **Program or Grant List?** choose whether you want to run the program by Program List or Grant List.

- The Program List will let you run the report by all programs or specific programs (based on your access).
- The Grant List allows you to run the report for all grants or specific grants (based on your access).

#### **Helpful hint:** How to run a default report

You only need to select criteria if you want to customize your report by sorting or filtering data. To run a default report instead of a customized report, simply skip step 2 (selecting criteria for the report) and click **Download Report**.

### **Step 2: Select the Criteria (optional)**

You can set several criteria for the Number of Consumers Served Report. These criteria specify which data your report will include, allowing you to customize the report. The following report criteria are described in more detail below.

- A. Output as
- B. Report By
- C. Grant Status
- D. Goal Approval Status
- E. Grant Year
- F. Grant Information Contains
- G. Sort by
- H. Sort Order
- I. Show glossary
- J. Population
- K. Region
- L. State
- M. Program or Grant

**A. Output as**

You can output your report in HTML, PDF, RTF, or Excel. The default format is PDF.

**B. Report By**

You can group your report by All Combined, Program, Cohort, Grant, State, or Region. The default is Grant.

**C. Grant Status**

You can run the report for active grants or all grants. **Active Grants** includes only grants that have not yet ended. **All Grants** includes grants that have ended in addition to active grants. The default is Active Grants

**D. Goal Approval Status**

You can select to view grants by **Approved Goals Only** or by **Approved and Unapproved Goals**. The default is **Approved Goals Only**.

**E. Grant Year**

You can select **Current Grant Year** or grant years from one to the number of grant years in SPARS for the grant. The default is the current Grant Year.

**F. Grant Information Contains**

This is only applicable if you have selected Grant under **Report By**. You can enter text or keywords to filter the report's data. The default is blank, meaning that SPARS will not filter the report data by this criterion.

**G. Sort by**

By default, the report will sort by grant or program information. To change how SPARS sorts report data, select from the pull-down menu. The choices are any of the report column headings.

**H. Sort Order**

You can choose ascending (low to high) or descending (high to low) order for your sort. The default is ascending.

**I. Show glossary**

If you want to review a glossary of terms for the report, select **Yes**. The default is to *not* show the glossary. (Glossary items also appear in section A, key terms, of this guide.)

**J. Population**

You can filter the report by specific populations, including Gender, Sexual Identity, Hispanic/Latino, Race, Age group, Military Service, Trauma, and Housing.

The default is **No filter Selected**, which will produce a report that includes all consumers.

To filter the report by a specific population, click on the check box for the population you want to see; the resulting report will only include consumers who match the checked criteria. You can filter by more than one population group at a time.

For example, you can run the report for males who are ages 16–25 by clicking the *male* and the *16–25 age* check boxes. To protect the privacy of consumers, SPARS will suppress any cell that contains fewer than five consumers (indicated with an *S*) when running the report with population filters.

**K. Region**

You can select any combination of regions including all regions and the report will show results based on these selections. The default is all regions.

**L. State**

You can select any combination of states. The default is all states.

Note that the State and Region selection criteria are mutually exclusive, meaning that you can select from one or the other, but not both. For example, if you select **1** for Region, then you cannot select a specific state, such as **MD**. If you select **All Regions**, however, then you can select a specific state or any combination of states.

**M. Program or Grant**

This section lists the grants or programs you can run the report for based on your access to SPARS. By default, SPARS selects all grants or programs to which you have access.

### Step 3: View the Report

Select **Download Report** to generate the report.

The sample report below shows what the Number of Consumers Served Report looks like when you select Grant Year 2 as the Grant Year.

#### Services Number of Consumers Served Report by Grant Year

**Report By:** Program

**Goal Approval Status:** Approved and Unapproved Goals

**Grant Year:** 2

**Grant Information Contains:** N/A\*

**Sort By:** Default

**Sort Order:** Ascending

**Show Glossary:** No

**Population(s):** Gender – Male; Sexual Identity – Heterosexual; Military Service Members, Veterans, or Families; Experienced trauma; Housing – Homeless only

**Region(s):** 1, 2, 3, 4, 5, 7, 8

**State(s):** AL, AR

**Selected Program(s):** Prog1

**Grant(s):** SM0001

**Data entered as of:** [Month, Time AM/PM time zone]

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\* N/A = not applicable



**Services Number of Consumers Served Report by Grant Year**

Program = PROG1

Grant ID	Grant Information	Year 1 Consumers Served	Year 1 Annual Goal	Year 1 Rate	Year 2 Consumers Served	Year 2 Annual Goal	Year 2 Rate	Cumulative to Date – Consumers Served	Cumulative to Date – Goal	Cumulative to Date – Rate
SM0001	Community MH Rockville, MD 09/30/2009 – 09/29/2014	118	150	78.6%	129	160	80.6%	203	250	81.2%
Total Grants: 1	N/A	118	150	78.6%	129	160	80.6%	203	250	81.2%
Program Summary: 8	N/A	1,204	1,642	73.3%	1,287	1,456	88.4%	6,908	8,756	78.9%

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## SECTION C: USING THE REPORT

### What information does the report show?

Reading our example **Number of Consumers Served Report** from *left to right*, the report shows three pieces of information for your grant or program:

1. The number of individual consumers served during a specific Grant Year
2. The annual goal for the number of consumers the grant expects to serve for a specific Grant Year
3. The rate at which your grant or program achieved its annual goal for a specific Grant Year

Reading the report from *top to bottom*, the report shows the three pieces of information described above (shown in the first row) for:

- Each selected grant(s) or program(s) or cohort(s) individually
- The total for all selected grant(s) or programs(s) or cohort(s)
- The total for the program

### Why are multiple years shown?

The report shows the same information for three different time frames, which allows you to compare your grant's (or program's) performance for the year you select to a previous year and to all grant award years in total.

Reading the report from *left to right*, SPARS displays the information described above as follows:

- The first three highlighted columns of data show information for the year *before* your selected Grant Year.
- The middle three columns show information for your *selected* Grant Year.
- The last three highlighted columns show the information for *all years to date* for your grant or program (cumulative).

### Helpful tips

A few points to keep in mind while using the report:

- The **Number of Consumers Served** is a count of each consumer who received treatment or services during a specific Grant Year.
  - This means that if a consumer has more than one episode of care in a Grant Year or receives multiple services, SPARS counts them *only once* in that Grant Year.

- If the grantee serves a consumer in Grant Year 1 and Grant Year 2, SPARS counts the consumer once in both years.
- The **Cumulative to Date** number is the unduplicated count of consumers served thus far since the start of the grant. For this count, SPARS does not count a consumer more than once, so you cannot add up the Grant Year counts to get this number.
  - If the grantee serves a consumer in Grant Year 1 and Grant Year 2, SPARS *only counts the consumer once* in the cumulative column.
- For currently active grants, the **Cumulative to Date Annual Goal** number is a sum of annual goals to date where SPARS prorates the current year goal amount by the number of days elapsed in the current period.
  - For grants where the sum of annual year goals is greater than the grant's overall cumulative goal, SPARS reduces the annual year goals used to calculate the **Cumulative to Date Annual Goal** by an amount that is consistent with the distribution of the original annual goals. This means that the adjusted annual goals used in the calculation will sum to the grant's (unduplicated) cumulative grant goal. For additional detail, please refer to the appendix.

## THINGS TO REMEMBER / FREQUENTLY ASKED QUESTIONS

- In this report guide, *unduplicated* means that SPARS never counts the consumer twice within a given grant year, however, SPARS may count the consumer in one or more grant years based on the duration of their treatment.
- Using the data download feature or the **Find Interview** screen to count consumers will not always generate the same numbers on this report. For more details, refer to Section C: Using the Report > Helpful tips as well as the Appendix: Technical Details > How does SPARS run the report? sections of this guide.
- Please review the Appendix: Technical Details > Definitions section for more information about how the report runs and how SPARS counts consumers.
- If you do not change any criteria and simply view the report, the default report will show data for the current grant year and will only show goal data for approved goals.
- If you just created your SPARS user account, you may not have access to this report for up to 36 hours.

## ACCESSING HELP

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

**Telephone:** 1-855-322-2746

**Email:** [SPARS-Support@rti.org](mailto:SPARS-Support@rti.org)

**Hours:** Monday to Friday | 8:00 a.m. – 7:00 p.m. (ET)

## APPENDIX: TECHNICAL DETAILS

This appendix provides technical details about how SPARS uses data to generate the Number of Consumers Served Report and explains how SPARS defines data appearing in each column.

### Definitions

#### Consumers Served (Grant Year)

This is the number of unique consumers served within the Grant Year shown on the report in the column heading. SPARS does not count a consumer more than once *within* a Grant Year period, even if that consumer had more than one episode of care (for example, returning to the grantee for additional services after a lapse in treatment in the same Grant Year).

Note that SPARS counts a consumer as served in all grant years covered during the consumer's episode of care. The grantee reports this information through the records entered in SPARS from baseline through the consumer's discharge. To keep a consumer counted as served during the current grant year, it is key to enter at least an administrative reassessment during the consumer's **reassessment due** period (or before the start of the next reassessment window). If you previously marked **No data** for the next reassessment in the record management section of a consumer record, you must enter a discharge record to end the current episode of care.

**Example:** If your grant began on September 30, 2011, and a consumer started receiving services on October 12, 2011, and continued treatment through December 12, 2012, SPARS would count the consumer in Grant Year 1 and Grant Year 2.

#### Annual Goal (Grant Year)

The *annual goal* is the number of consumers the grantee intends to serve within the Grant Year selected. This annual goal is static or fixed and SPARS does not prorate this number for the selected or previous Grant Year, even if the selected Grant Year is the current one. This means that if you run the report for a partial Grant Year (for example, if you run it for the current Grant and during month 10 of that Grant Year), the goal shown is for the full Grant Year.

If the grant years in the report fall within the start and inactivate date of the grant and the annual goal for a grant year is missing, then SPARS will display the annual goal for that grant year as missing.

Whenever a grant year in the report falls outside the start and end dates of the grant, SPARS reports the annual goal of that grant year as N/A (not applicable).

If SPARS combines the grant with missing or N/A goals with other grants that have annual goal data—for example, when running the report for a program—then SPARS treats the N/A or missing goals as zero (0) in the calculation.

#### Rate (Grant Year)

SPARS calculates this number as the **Consumers Served** column of a Grant Year divided by the **Annual Goal** column of its respective Grant Year and then multiplied by 100 to calculate a

percentage  $((\text{Consumers Served}/\text{Annual Goal}) \times 100)$ . SPARS rounds the Rate for both the selected and the previous Grant Year to the nearest tenth of a percent.

Note that SPARS does not include grants with no annual goals in summary rates, for example, when calculating rates for a program or a cohort. This means that SPARS omits grants having no goals from these calculations.

**Consumers Served (Cumulative to Date)**

This number is the unique count of consumers served thus far since the grant start date to the date when you generate the report. This is different than adding all the annual consumers served in each Grant Year, since that figure may contain duplicated consumers. SPARS will count the consumer once in this column if they have at least one interview record during the grant period. The grantee cannot count a consumer more than once in this column, even if the consumer has multiple episodes of care or receives services during multiple grant years. This **To Date** figure should not change, depending on which Grant Year the user selects.

**Goal (Cumulative to Date)**

This number is an estimate of the number of unique consumers that were projected to be served between the grant start date and the date the report was generated. The **Cumulative to Date Annual Goal** is the sum of the annual goals to date and SPARS prorates the current year goal amount by the number of days elapsed in the current period. For grants where the sum of the annual year goals is greater than the grant’s overall cumulative goal, SPARS reduces the annual year goals used to calculate the **Cumulative to Date Annual Goal** by an amount that is consistent with the distribution of the original annual goals so that the adjusted annual goals used in the calculation sum to the grant’s (unduplicated) cumulative grant goal. See examples in tables 1 and 2.

**Table 1.** Cumulative to Date Annual Goal

Grant ID	Grant Year 1 Goal	Grant Year 2 Goal	Grant Year 3 Goal	Cumulative Goal	Sum of Grant Year Goals
SMXXXXX	10	100	200	310	310

In table 1, the **Cumulative to Date Annual Goal** is the sum of the annual goals elapsed to date. At the end of Year 1, the cumulative goal to date would be 10; at the end of Year 2, the cumulative goal to date would 110; and at the end of Year 3, the cumulative goal to date would be 310 and thus equal to the cumulative goal.

**Table 2.** Cumulative Goal

Grant ID	Grant Year 1 Goal	Grant Year 2 Goal	Grant Year 3 Goal	Cumulative Goal	Sum of Grant Year Goals
SMXXXXX	50	100	200	200	350
Ratio applied	N/A	0.33333	0.66667	N/A	N/A
Prorated (unduplicated) count of persons served at a given year in the grant cycle	50	50	100	200	N/A

In table 2, the **Cumulative Goal** does not equal the sum of the grant year goals. When this happens, SPARS reduces the annual year goals used to calculate the **Cumulative to Date Annual Goal** by an amount that is consistent with the distribution of the original annual goals. These adjusted numbers forecast the number of unduplicated clients the grants should have served at a given point in its grant cycle. The adjusted annual goals used in this calculation will sum to the grant’s (unduplicated) cumulative grant goal. At the end of Year 1, the cumulative goal to date would be 50; at the end of Year 2, the cumulative goal to date would be 100; and at the end of Year 3, the cumulative goal to date would be 200 and thus equal to the cumulative goal.

As explained earlier, SPARS does not prorate the current grant year annual goal, which is equal to the total goal for the entire year. Because SPARS prorates the cumulative goal, it is possible for the current grant year annual goal to exceed the prorated cumulative goal, especially for grants in their first grant year. For example, for a grant that starts on September 20, 2018, with a current grant year goal equal to 400, the prorated cumulative goal will equal 100 for a report generated on December 31, 2018.

If the grant years in the report fall within the start and inactivate dates of the grant and the cumulative goal is missing, then SPARS will display the cumulative goal as missing.

The **To Date** number is the sum of all monthly goals up until the date the user generates the report. This figure should not change depending on which Grant Year the user selects, but may change depending on *when* the user generates the report.

**Rate (Cumulative to Date)**

SPARS calculates the **Rate** as the **Cumulative to Date Consumers Served** column divided by the **Cumulative to Date Goal** column and then multiplied by **100** to calculate a percentage

((Cumulative to Date Consumers Served/Cumulative to Date Goal) x 100).



**Please note:**

- SPARS will display N/A in the Annual Goals and Rate columns for grantees that have not entered their Annual Goals data.
- If the user runs a report for Year 1 of a grant, then SPARS will display N/A in each column under the Previous Grant Year columns for that grant.
- If the Selected Grant Year **starts** on or after the grant's inactivate date, then SPARS will populate N/A in each column under the Selected Grant Year columns for that grant.

**How does SPARS run the report?**

SPARS updates the report once every 24 hours and displays the date and time of the last update at the top of the report. SPARS takes information from the records grantees submit on each consumer to determine the year(s) they received services. SPARS uses a different piece of information or variable, depending on whether the grantee conducted an interview or entered an administrative record. The process used to assign a consumer to a Grant Year in the **Number of Consumers Served Report** follows.

**1. The system looks at the first record within the selected grant year for one of the following dates:**

- *Interview Date:* SPARS uses the interview date to assign a consumer to a specific Grant Year for a completed interview (Baseline, Reassessment, or Discharge).

Example: SPARS counts a consumer with an interview date of September 19, 2010, as served in Grant Year 1 for a grant that starts on September 30, 2009.

- *First Received Services Date:* SPARS uses the first received services date to assign a consumer to a specific Grant Year for an administrative Baseline record.

Example: SPARS counts a consumer with a first received services date of September 15, 2013, as served in Grant Year 1 for a grant that starts on September 30, 2012.

- *Last Services Received Date:* SPARS uses the date the consumer last received services to assign a consumer to a specific Grant Year for an Administrative Reassessment record.

Example: SPARS counts a consumer who last received services on July 15, 2009, as served in Grant Year 2 for a grant that started on September 30, 2007.

- *Discharge Date:* SPARS uses the consumer's discharge date to assign the consumer to a specific Grant Year for an Administrative Discharge record.

Example: SPARS counts a consumer discharged on July 15, 2009, (without an interview) as served in Grant Year 2 for a grant that started on September 30, 2007.

The system searches the database for a consumer record with one of the three dates described

above within the Grant Year selected. If SPARS finds and confirms any of these dates, the system assigns the consumer to the Grant Year selected. When SPARS finds no records for the selected Grant Year, the system runs an additional search as follows:

## 2. The system runs additional checks

SPARS counts a consumer as served for the Grant Year selected if at least one of the following occurs:

- *Still Receiving Services:* If the system finds a record within **the year just prior to the Grant Year selected** that has either the *Interview Date* or the *Last Services Received Date*, **and** no more than 7 months has elapsed, SPARS assumes that the grantee has not yet reassessed the consumer, the grantee did not discharge the consumer or the consumer is lost to contact, and that the consumer is still receiving services. SPARS will include this consumer in the report for the selected Grant Year.

Example: You selected Grant Year 1 to run your report. SPARS counts a consumer you interviewed on June 15, 2009, who is not yet discharged toward the number of consumers served for Year 1 for a grant that started on September 30, 2008.

- *Gaps in Records:* If the system finds both:
  - a record within **the year just prior to the Grant Year selected** that has either the *Interview Date* or the *Last Services Received Date* **and**
  - a record within **the year just after the Grant Year selected** that has the *Interview Date*, the *Last Services Received Date*, or the *Discharge Date*.

This might happen if, for example, the consumer missed one or more reassessments in the selected Grant Year and the grantee did not submit an administrative reassessment. In this case, SPARS assumes that the consumer was receiving services during the Grant Year you selected.

Example: Your grant started on June 1, 2008. You selected Grant Year 2 to run your report. SPARS counts a consumer you interviewed on June 15, 2008, and discharged on August 23, 2010, with no additional records in between toward the number of consumers served for Grant Year 2, even though there was no interview conducted during Year 2.

- *No Data Due to Consumer Consent Issue:* If the system finds a record within **the year just prior to the Grant Year you selected** that has either the *Interview Date* or the *Last Services Received Date* and the grantee indicated they will not attempt further interviews due to consent issue. The exception would be if the episode of care ended prior to the Grant Year.
- Administrative baseline records and consumer First Received Services dates prior to the implementation of SPARS data collection by the grant.

Example: For a grant that started on October 1, 2011, SPARS will count a consumer

with a Consumer First Received Services date of July 1, 2011, as served in Grant Year 1.

Note that the number of *Consumers Served* in the previous Grant Year may change due to a deletion or submission of a record in the current Grant Year. For example, if you interview a consumer for a baseline in February 2010, but do not submit the record until November 2010, the Grant Year count will increase once you submit the record.

**3. The system runs the same process for the grant year prior to the selected grant year**

SPARS uses the same process to assign a consumer to the Grant Year prior to the Selected Grant Year.

**4. The system runs the calculations and populates the table**

The system runs the calculations (**Numbers Served** and **Rates**) and displays the Annual Goals and calculated data.